



# 2018 **STEP** Instructions

**CHANGE YOUR  
SAFETY PERSPECTIVE**



We can show you more.®

Proud Sponsor of the ABC National  
Safety Excellence Award



## FREQUENTLY ASKED QUESTIONS ABOUT THE STEP PROGRAM

**PLEASE NOTE:** all paper applications submitted **MUST** include the \$35 application processing fee (waived for STEP Diamond (\$435) and Platinum (\$235) submissions as part of the standard application fee).

Want to save money? Submit online using the new and improved online STEP application!

- Auto-save your application and complete at your own pace
- Automatic calculation of STEP level upon submission
- Instantaneously be entered into the ABC STEP database!

**Simplify your life—go to [abc.org/steppapp](http://abc.org/steppapp) and enter online today!**

### 1. Who should complete the STEP application?

STEP is a safety benchmarking and improvement tool. ABC encourages each participant to engage as many employees as possible in the process. Where possible, consider using a safety committee or a randomly selected and diverse sample of employees. For each of the 20 Key Components of Safety measures, groups can either work on reaching a consensus or results can be averaged. More participants in the evaluation process will result in a truer assessment of your safety program and a more comprehensive look at areas for improvement.

### 2. What are the STEP achievement levels?

There are six levels of STEP achievement: Participant, Bronze, Silver, Gold, Platinum and Diamond.

### 3. When is the STEP application due?

STEP applications are accepted throughout the year. However, in order to ensure receipt of your STEP certificate and achievement recognition at your chapter's safety awards ceremony, applications should be submitted online or returned to your local ABC chapter office by the chapter's STEP deadline (see table).

### 4. Is there a fee to participate in STEP?

There is no application fee for STEP involvement at the Participant, Bronze, Silver or Gold recognition levels IF you submit your application online at [abc.org/steppapp](http://abc.org/steppapp). For all paper applications submitted, there is a \$35 application processing fee (waived for STEP Diamond and Platinum applicants).

There is a fee of \$235 for each Platinum application submitted. This fee is only refundable if the application does not meet the minimum

20 Key Components qualifying score; any application submitted that does not qualify based on the Incidence Rate, Experience Modification Rate (EMR) and fatality qualifying criteria listed in the application instructions below **WILL NOT BE REFUNDED**. Payment information should be submitted with the Platinum application; failure to do so may result in processing delays.

There is an application review fee of \$435 for each Diamond level application. This fee is only refundable if the application does not meet the minimum 20 Key Components qualifying score; any application submitted that does not qualify based on the Incidence Rate, Experience Modification Rate (EMR) and fatality qualifying criteria listed in the application instructions below **WILL NOT BE REFUNDED**. In order to reduce processing delays, please review the STEP Diamond qualifying criteria to determine if your company will qualify for Diamond recognition prior to submitting your application.

### 5. How do I submit my STEP application?

All paper STEP applications should be submitted directly to your local ABC chapter for initial review and verification. Online STEP applications will be reviewed and verified by ABC National upon submission. Fill out the online application at [abc.org/steppapp](http://abc.org/steppapp). Online STEP applications will be reviewed and verified by ABC National upon submission. All paper STEP applications should be submitted directly to your local ABC chapter for initial review and verification. For a list of ABC chapter locations, visit [abc.org/chapterlocator](http://abc.org/chapterlocator).

### 6. What if I am submitting identical applications to more than one ABC chapter for recognition?

If you are submitting identical copies of Participant, Bronze, Silver and Gold STEP applications to other ABC chapters, there is a "YES" box to check in Section 1 of the STEP application. Please indicate the other chapter(s) to which you will be submitting on the line below this "YES" box. In order to ensure recognition at all listed chapters, please submit your original STEP application to the chapter with the earliest listed deadline.

When submitting multiple identical STEP Diamond or Platinum applications, you must purchase at least one additional STEP Diamond or Platinum certificate for each chapter at which you want your company to be recognized. The additional STEP Platinum certificates cost \$50 for each framed certificate or \$15 for each unframed certificate. If you do not purchase the additional STEP Diamond or Platinum certificates, they will not be sent to the additional chapters and you will not be recognized as a STEP Diamond or Platinum recipient there. In order to ensure recognition at all listed chapters, please submit your original STEP application and payment to the chapter with the earliest listed deadline.

Example: Contractor is a member of two ABC chapters and qualifies for Platinum status.

- Contractor identifies their primary ABC chapter on the application form. The processing fee is \$235.
- Contractor checks the “Yes” box under “Is this IDENTICAL STEP application being used for other ABC chapters?” and identifies which chapters.
- Contractor wants a plaque for his secondary ABC chapter. The fee is \$50.
- Contractor submits a check in the amount of \$285 (\$235+\$50).

Please attach a copy of the original STEP Diamond or Platinum application fee check to all additional applications for verification purposes.

### 7. What if I am submitting distinctly different applications to more than one ABC chapter for recognition?

If you are submitting distinctly different Participant, Bronze, Silver and Gold STEP applications to various ABC chapters, then check the “NO” box where it asks if “Identical STEP applications are being submitted.” There is no need to list the other ABC chapters on the line below this box. When submitting distinctly different STEP Diamond or Platinum applications, you must submit a check for \$235 (Platinum) or \$435 (Diamond) with each application.

Example 1: Contractor has three separate locations/divisions. Each location/division is a member of a different ABC chapter. Each location/division submits its own STEP Platinum application to its local chapter, along with a check for \$235.

Example 2: Contractor is a member of three ABC chapters and qualifies for Platinum level. Contractor submits one single application to Chapter 1, but also lists Chapter 2 and Chapter 3 in Section 1 of the STEP application. Check submitted with application to Chapter 1 = \$335. (\$235 for Chapter 1 Platinum application + \$50 for framed certificate for Chapter 2 + \$50 for framed certificate for Chapter 3).

Note: The number and type of certificates ordered should be indicated in the “STEP Diamond/Platinum Payment Information” section on the bottom right of the STEP application.

### 8. How do I submit STEP applications if my company has several locations or business units?

You can prepare one entry encompassing the entire company that includes aggregate (company-wide) safety data. However, you may choose to submit separate STEP applications (with location-specific or company-wide data) to each local ABC chapter at which your company maintains membership.

Note: For consideration in the ABC National Safety Excellence Award competition and/or the Construction Users Round Table/Construction Industry Safety Excellence (CURT/CISE) awards,

only companies whose STEP application reflects cumulative safety data from the entire company will be considered.

### 9. This is my company's first year participating in STEP. If it meets qualification criteria, can I apply for Diamond or Platinum?

Yes. All first-year or lapsed STEP applicants may apply for Diamond or Platinum recognition immediately.

### 10. If my company is not a contractor, can it participate in the STEP program?

At the national level, ABC only recognizes participants in the North American Industry Classification System categories designated for construction (236, 237 and 238). Your local ABC chapter may broaden recognition to include manufacturers or suppliers. But regardless of recognition status, the 20 Key Components of STEP can be used as an improvement tool for nearly any safety program!

### 11. Is the information submitted in my STEP application confidential?

Yes. The information contained in each STEP application is viewed only by ABC staff and is kept strictly confidential. ABC does not disclose any company-specific STEP information. ABC accumulates aggregate data through the program to determine collective safety trends and this information becomes part of ABC's annual STEP data analysis, which serves as a member benchmarking tool.

### 12. Does ABC National keep a copy of the application?

ABC National retains copies of all paper STEP applications for a period of five years and then destroys them. Information from all online applications is stored in ABC National's database in perpetuity.

### 13. Does STEP participation tie into other ABC recognition programs?

Yes, ABC has two recognition programs that tie into STEP participation:

Accredited Quality Contractor (AQC) – Companies seeking AQC status must have participated in STEP at the Gold, Platinum or Diamond level during the previous or current year.

Excellence in Construction Awards (EIC) – Neither AQC status nor STEP Gold, Platinum or Diamond recognition are required for submitting an entry in ABC's national EIC awards program. However, EIC applicants with AQC status do earn an additional two points in the judging process.

### 14. Who do I contact if I have questions?

Contact your local ABC chapter first. If the chapter is unable to provide the specific information you need, or if you are referred to the ABC National office, contact Amy Faris, Manager of Safety Programs and Initiatives at (202) 595-1855 or faris@abc.org.



Chapter	Chapter Deadline
Alabama	3/17/18
Alaska	7/12/18
Arizona Builders' Alliance	7/12/18
Arkansas	2/12/18
Baltimore Metro	9/1/18
Carolinas	6/15/18
Central California	7/12/18
Central Florida	5/15/18
Central Ohio	8/24/18
Central Pennsylvania	8/1/18
Central Texas	7/14/18
Chesapeake Shores	6/30/18
Connecticut	4/10/18
Cornhusker	3/1/18
Cumberland Valley	7/1/18
Delaware	3/10/18
Eastern Pennsylvania	6/30/18
Empire State	7/1/18
Florida East Coast	7/12/18
Florida First Coast	9/30/18
Florida Gulf Coast	7/1/18
Georgia	4/29/18
Greater Houston	5/25/18
Greater Michigan	7/7/18
Greater Tennessee	7/12/18
Guam Contractors Association	4/28/18
Hawaii	7/12/18
Heart of America	8/24/18
Illinois	6/16/18
Indiana/Kentucky	7/12/18
Inland Pacific	3/20/18
Iowa	7/31/18
Keystone	3/9/17
Los Angeles/Ventura	7/12/18
Maine	3/17/18
Massachusetts	3/17/18

Chapter	Chapter Deadline
Metro Washington	8/5/18
Minnesota/North Dakota	4/1/18
Mississippi	6/30/18
Nevada	3/15/18
New Hampshire/Vermont	4/10/18
New Jersey	8/1/18
New Mexico	6/1/18
New Orleans/Bayou	8/15/18
North Alabama	3/17/18
North Florida	7/1/18
Northern California	5/27/18
Northern Ohio	8/15/18
Ohio Valley	2/18/18
Oklahoma	8/15/18
Pacific Northwest	9/1/18
Pelican	7/14/18
Rhode Island	7/12/18
Rocky Mountain	3/16/18
San Diego	10/1/18
South Texas	5/12/18
Southeast Texas	3/17/18
Southeastern Michigan	4/15/18
Southern California	7/12/18
Texas Coastal Bend	4/3/18
Texas Gulf Coast	6/27/18
Texas Mid Coast	8/1/18
TEXO	7/7/18
Utah	2/10/18
Virginia	5/8/18
West Tennessee	9/1/18
West Virginia	7/29/18
Western Michigan	4/30/18
Western Pennsylvania	3/10/18
Western Washington	3/23/18
Wisconsin	4/7/18

## 2018 STEP QUALIFICATION CRITERIA

### Participant Level

- a) Recognizes those who participate in STEP, but do not achieve the minimum 20 Key Components self-score<sup>1</sup> required for Bronze level recognition.
- b) Must submit 2017 OSHA Form 300A ("Summary of Work-Related Injuries and Illnesses") with the application for data verification purposes.
- c) Applicant must have signed the Drug- and Alcohol-Free Workplace Pledge at [drugfreeconstruction.org](http://drugfreeconstruction.org) and have in place a documented substance abuse program that includes a drug/alcohol screening process.

### Bronze and Silver Levels

- a) Applicant achieves minimum 20 Key Components qualifying score for respective levels.<sup>1</sup>
- b) Must submit 2017 OSHA Form 300A ("Summary of Work-Related Injuries and Illnesses") with the application for data verification purposes.
- c) Applicant must have signed the Drug- and Alcohol-Free Workplace Pledge at [drugfreeconstruction.org](http://drugfreeconstruction.org) and have in place a documented substance abuse program that includes a drug/alcohol screening process.

### Gold Level

STEP Gold is open to applicants who meet ALL of the following qualifications:

- a) Minimum Gold Level 20 Key Components self-score<sup>1</sup> required.
- b) Incidence rate<sup>2</sup> equal to or below the national BLS<sup>3</sup> average for applicant's NAICS<sup>4</sup> code for the two most recently published years of BLS data. (For companies with fewer than 100 employees, a three-year average may be used. For companies with fewer than 50 employees, a 5-year average may be used).
- c) Must submit 2017 OSHA Form 300A ("Summary of Work-Related Injuries and Illnesses") with the application for data verification purposes. Note that, for applicants under 100 employees who are submitting based on their three-year incidence rate average, you must submit your 2015, 2016 and 2017 OSHA Form 300A. For applicants under 50 employees who are submitting based on their five-year incidence rate average, you must submit your 2013, 2014, 2015, 2016 and 2017 OSHA Form 300A.
- d) Applicant must have signed the Drug- and Alcohol-Free Workplace Pledge at [drugfreeconstruction.org](http://drugfreeconstruction.org) and have in place a documented substance abuse program that includes a drug/alcohol screening process.

### Platinum Level

STEP Platinum is open to applicants who meet ALL of the following qualifications:

- a) Minimum Platinum Level 20 Key Components self-score<sup>1</sup> required.
- b) Incidence rate<sup>2</sup> at least 25 percent below the national BLS<sup>3</sup> average for applicant's NAICS<sup>4</sup> code in the application year. (Note that the use of a three-year average is permitted for companies with fewer than 100 employees, and use of a five-year average is permitted for companies with fewer than 50 employees. Companies using the three-year incidence rate average must submit your 2015, 2016 and 2017 OSHA Form 300 and OSHA Form 300A. For companies under 50 employees who are submitting based on their five-year incidence rate average, you must submit your 2013, 2014, 2015, 2016 and 2017 OSHA Form 300 and OSHA Form 300A).
- c) No fatalities or in-patient hospitalizations (except for observation and diagnostic testing) within this application year. Also, no fatality or catastrophic incident within the previous three consecutive years, which resulted in an OSHA citation.
- d) No willful or serious OSHA citations (federal or state) within this application year or the previous two consecutive years.
- e) EMR ("mod factor") at or below 0.800 for application year (0.900 for companies with fewer than 100 employees). In some states, very small companies may have trouble reaching 0.900 even with three years of zero losses. Therefore, in place of the mod factor requirement, a company with fewer than 50 employees can meet this qualification if its three-year average workers' comp loss ratio is at or below 15 percent. A statement from your insurer must attest to this criterion.
- f) Applicant must have signed the Drug- and Alcohol-Free Workplace Pledge at [drugfreeconstruction.org](http://drugfreeconstruction.org) and have in place a documented substance abuse program that includes a drug/alcohol screening process.
- g) Site supervisory personnel have completed OSHA 10-hour construction safety course or equivalent.
- h) Have designated safety personnel with OSHA 30-hour construction safety course training or equivalent. These individuals, through training and experience, are able to recognize workplace hazards and have the authority to take prompt, corrective action.
- i) Site-specific safety and health programs in place.
- j) Employees actively involved in safety and health program (i.e., participation in self-audits, site inspections, job hazard analyses, safety and health program reviews, safety training, near-miss investigations, etc.).
- k) Employees trained in identification and control of hazards specific to the contractor's worksite(s) Safety

- l) Submit both the 2017 OSHA Form 300 (“Log of Work-Related Injuries and Illnesses”) with names removed and 2017 OSHA Form 300A (“Summary of Work-Related Injuries and Illnesses”) with the application for data verification purposes. Note that, for applicants under 100 employees who are submitting based on their three-year incidence rate average, you must submit your 2015, 2016 and 2017 OSHA Form 300 and OSHA Form 300A. For companies under 50 employees who are submitting based on their five-year incidence rate average, you must submit your 2013, 2014, 2015, 2016 and 2017 OSHA Form 300 and OSHA Form 300A).
- m) Submit the \$235 application fee, which is refundable if the company fails to meet the minimum 20 Key Components qualifying score. Any application submitted that does not qualify based on the Incidence Rate, Experience Modification Rate (EMR), substance abuse policy and fatality qualifying criteria listed in the application instructions below WILL NOT BE REFUNDED. In order to reduce processing delays, please review the STEP Platinum qualifying criteria to determine if your company will qualify for Platinum recognition prior to submitting your application.
- b) EMR (“mod factor”) at or below 0.700 for STEP application year (0.800 for companies with fewer than 100 employees). In some states, very small companies may have trouble reaching 0.800, even with three years of zero losses. Therefore, in place of the mod factor requirement, a company with fewer than 50 employees can meet this qualification if its three-year average workers’ comp loss ratio is at or below 10 percent. A statement from your insurer must attest to this criterion.
- c) Submit both the OSHA Form 300 (“Log of Work-Related Injuries and Illnesses”) with names removed and OSHA Form 300A (“Summary of Work-Related Injuries and Illnesses”) with the application for years 2015, 2016 and 2017 for data verification purposes. For companies under 50 employees who are submitting based on their five-year incidence rate average, you must submit your 2013, 2014, 2015, 2016 and 2017 OSHA Form 300 and OSHA Form 300A).
- d) Submit the \$435 application fee, which is refundable if the application does not meet the minimum 20 Key Components qualifying score. Any application submitted that does not qualify based on the incidence rate, Experience Modification Rate (EMR), substance abuse policy and fatality qualifying criteria listed in the application instructions WILL NOT BE REFUNDED. In order to reduce processing delays, please review the STEP Diamond qualifying criteria to determine if your company will qualify for Diamond recognition prior to submitting your application.

All STEP Platinum recipients are eligible to enter ABC’s National Safety Excellence Award (NSEA) competition and the Construction Users Roundtable’s Construction Industry Safety Excellence (CURT/CISE) award competition.

### **Diamond Level**

Candidates must meet ALL of the Platinum qualifications, as well as these more stringent requirements:

- a) Incidence rate<sup>2</sup> at least 50 percent below the national BLS<sup>3</sup> average for applicant’s NAICS<sup>4</sup> code in the current application year and each of the past two consecutive application years. (Note that the use of a three-year average is permitted for companies with fewer than 100 employees, and use of a 5-year average is permitted for companies with fewer than 50 employees. Companies using the three-year incidence rate average must submit your 2015, 2016 and 2017 OSHA Form 300 and OSHA Form 300A. For companies under 50 employees who are submitting based on their five-year incidence rate average, you must submit your 2013, 2014, 2015, 2016 and 2017 OSHA Form 300 and OSHA Form 300A).

All STEP Diamond recipients are eligible to enter ABC’s National Safety Excellence Award (NSEA) competition and the Construction Users Roundtable’s Construction Industry Safety Excellence (CURT/CISE) award competition.

### **Appeals of STEP Level**

In certain instances, a company may feel that the STEP qualification criteria cannot be reasonably met and unfairly prohibit their company from being recognized at the appropriate STEP level. A company may appeal their STEP level to the ABC National Environment, Health & Safety (EH&S) Committee, who will review the application and supporting materials to make a determination for or against the appeal. Please note that ONLY the following criteria may be the cause of an appeal at this time:

- Total Recordable Incidence Rate (TRIR)
- Experience Modification Rate

#### **Notes:**

1 20 Key Components Self-Score – ABC does not publish minimum qualification scores for the 20 Key Components.

2 Incidence Rate – Represents the number of OSHA recordable injuries/illnesses per 100 employees a company experiences in a given calendar year. It is calculated with the following formula:

Incidence Rate =  $N \times 200,000 / \text{Total hours worked by all employees in calendar year}$

“N” represents the total number of OSHA recordable incidents for calendar year (Lines G + H + I + J on OSHA Form 300A)

The U.S. Bureau of Labor Statistics (BLS) has created an online Incidence Rate Calculator that may be accessed at [http://data.bls.gov/IIRC/?data\\_tool=IIRC](http://data.bls.gov/IIRC/?data_tool=IIRC).

3 BLS – For purposes of this application, see Bureau of Labor Statistics averages in the table on page 9.

4 NAICS – North American Industry Classification System. If you are unsure in which NAICS code your company should be classified, reference [www.census.gov/eos/www/naics/](http://www.census.gov/eos/www/naics/) for code definitions. NAICS code classification should represent the majority of the company’s primary work. A sampling of construction NAICS codes and corresponding national BLS incident rates is listed in the STEP application instructions section.

## HOW TO COMPLETE THE 2018 STEP APPLICATION

### SECTION 1: COMPANY INFORMATION

- **Company name:** Enter the name of your company as it appears in the ABC chapter membership record.
- **Address and City/State/Zip:** Enter the mailing address of the company location for which this application is being submitted. If you are submitting an application that covers multiple locations, enter the company's main address as it appears in the ABC chapter membership record.
- **Contact Name:** Enter the name of the person completing this STEP application. (Generally, this person should be the company's primary safety contact for this location.)
- **Email:** Enter the email address of the person completing this STEP application. Future STEP/NSEA correspondence will be sent to this email address.
- **Chapter:** List the ABC chapter to which this specific application is being submitted.
- **This Application and Data:** Check the first box if this application and data covers your entire company. Check the second box if the application and data apply only to a portion of your entire company/corporate entity (such as a specific division, location or department).
- **Is this identical STEP application being submitted to other ABC Chapters?:** Check "No" if this exact same STEP application is only being submitted to one ABC chapter. Check "Yes" if your company is submitting this exact same application (Section 2 data and Section 3 "20 Key Components") to more than one ABC chapter. In this case, list the other ABC chapters to which the application will be submitted.
- **Primary NAICS Code:** Enter the six-digit NAICS code listed on the 2017 OSHA Form 300A that is being submitted with this application. (Reference the table below for guidance as necessary.) This code should reflect the majority of work performed by your company.
- **Incidence Rates:** The following table lists, for each NAICS code, the current average BLS National Incidence Rate in the shaded column. This rate also reflects the maximum allowable for STEP Gold achievement. Beside it is the maximum allowable incidence rate for STEP Platinum and Diamond qualification. For STEP Diamond applicants, your incidence rate in each of the previous 3 years must be at or below the rate listed in this table. For incidence rate calculation purposes, ABC uses the standard BLS methodology of "rounding up" from the second (hundredth) decimal; for example, if your calculated incidence rate is 1.58, then it would be rounded up to 1.6.
- **Work Type:** Indicate the approximate percentage of your company's work that is considered residential, commercial and industrial (total must equal 100 percent).
- **Percentage of Work Performed:** Indicate the approximate percentage of your company's work that is performed within the specified distances of the company address listed on the application (total must equal 100 percent).

- **Percentage of Your Contract Work:** Indicate the approximate percentage of your company's annual contract work that is self-performed (performed by actual company employees) and that is contracted/subcontracted out (total must equal 100 percent).

### SECTION 2: SAFETY PERFORMANCE DATA

Specific instructions for completing the STEP application for ALL levels of recognition:

- **Lines (a) through (h):** Use your completed 2017 OSHA Form 300A ("Summary of Work-Related Injuries and Illnesses") to provide this data. Information in parentheses refers to lines on the OSHA Form 300A. Note: Items (b), (c) and (d) ask for cases, while (e) and (f) ask for days. Also, complete lines (g) and (h) using information from the "Establishment Information" section of the OSHA Form 300A.
- **Experience Modification Rate as of Jan. 1, 2018 (EMR or "mod factor"):** Contact your workers' compensation insurance carrier to obtain your EMR or "mod factor" for the calendar year beginning Jan. 1, 2018.
- **Number of federal/state OSHA inspections in 2017:** Enter the total number of times your company was inspected by OSHA in 2017 (either federal or state OSHA). If this application covers only a specific location/division of your company, only include the inspections encountered by that location/division.
- **Number of federal/state OSHA final citations issued in 2017:** Of the inspections listed in the previous question, enter the total number of OSHA citations your company ultimately was issued that were adjudicated in 2017. If this application covers only a specific location/division of your company, only include the citations issued for that location/division.
  - Willful: number of citations, if any, listed by OSHA as "willful" violations
  - Repeat: number of citations, if any, listed by OSHA as "repeat" violations
  - Serious: number of citations, if any, listed by OSHA as "serious" violations
  - Other than Serious: number of citations, if any, listed by OSHA as "other than serious" violations
  - De Minimis: number of citations, if any, listed by OSHA as "de minimis" violations
- **For calendar year 2015, 2016 or 2017 have you had any employee fatalities corporate-wide that resulted in an OSHA citation:** This question applies to your entire company, regardless of whether this application only covers a specific location, department or division. Check "Yes" if, in 2015, 2016 or 2017 there were any employee fatalities within your entire company/corporation that resulted in one or more federal/state OSHA citations being issued.
- **Length of safety portion of new-hire orientation (in minutes):** Indicate the number of minutes devoted to safety during your

company's new employee orientation.

- Do you conduct site-specific safety orientations for all employees: Check "yes" if you conduct safety orientations/briefings for employees that are specific to each jobsite and are separate from the safety portion of new-hire orientations.
- Do you track near misses/hits/observations: do you record/track incidents that did not cause injury but, had circumstances or conditions been different (i.e. if an employee would have been standing in the spot where falling materials/tools struck), would have resulted in injuries or fatalities and/or an OSHA citation.
  - If yes, how many did you record in 2017: enter the number of near misses/hits/observations that you recorded last year.
- Toolbox safety talks frequency: Check the box that indicates how frequently your company conducts toolbox safety talks. If your company does not conduct toolbox safety talks, or if it conducts them on a frequency not listed, check the box marked "Other."
- Do you establish/participate in site safety committees at each jobsite: if you are a general contractor/construction manager, do you establish a safety committee comprised of employees and management on each jobsite where you work. If you are a subcontractor, do you participate in safety committees that are set up by the general contractor/construction manager.
- Do you conduct safety training for employees beyond owner/user-required training: does your company routinely conduct training for its' employees that is not specifically required by the client that improves the expertise/proficiency of the employee in regards to performing their work safely (for example, safety leadership development courses, tool/equipment training, supplemental craft training, etc.).
- Do you have a substance abuse program that includes a drug/alcohol screening process: Indicate whether your company has a written substance abuse program/policy with provisions for drug/alcohol testing where permitted.
- Have you signed the Drug- and Alcohol-Free Workplace Pledge at [drugfreeconstruction.org](http://drugfreeconstruction.org): all STEP participants are required to sign the Pledge committing their company to providing a workplace free from substance abuse and to enacting a substance abuse policy with testing procedures. THIS IS A REQUIREMENT FOR STEP PARTICIPATION.
- Do you regularly establish pre-task plans/safety task analyses for work? Indicate whether your company creates pre task-plans/safety task analyses prior to each task on the jobsite. Pre-task plans/safety task analyses are outlines, sometimes in checklist format, that help employees determine what tools/equipment will be required for a task and what potential hazards could be faced as part of the task, as well as how the employee will eliminate/work around the hazard, if necessary.
- Do you conduct regular Jobsite Safety Analyses/Jobsite Hazard Analyses? Indicate whether your company conducts JSAs/JHAs at regular intervals. JSAs/JHAs are conducted to identify existing or potential hazards in and around the jobsite, methods to eliminate or reduce exposure to the hazards and any training/resources required to help employees recognize

the hazards.

- All applicants MUST include a copy of their OSHA Form 300A with this STEP application.
- Platinum applicants also must include a copy of their OSHA Form 300 with employee names removed. Diamond applicants must include copies of their 2015, 2016 and 2017 OSHA Forms 300 and 300A. FAILURE TO SUBMIT THE REQUIRED PAPERWORK CAN RESULT IN DISQUALIFICATION FROM THE STEP EVALUATION PROCESS.

### SECTION 3: 20 KEY COMPONENTS OF SAFETY SELF-ASSESSMENT

After completing the 20 Key Components of Safety Self-Assessment section of this application, record the individual sub-scores for (A) through (T) into the respective boxes in this section. Total the scores and enter this number into the "Total Score" box. Only select the score which accurately describes your company's actions/policies—scores recorded that are not listed in the individual Key Components will be rounded down to the next listed score.

- Are you part of ABC's AQC program: Indicate whether you participate in ABC's Accredited Quality Contractor (AQC) program.
- I have read and understand all qualifying requirements and instructions (initial here): all STEP applicants must initial this line to confirm that they fully acknowledge and understand the rules, requirements and qualifying criteria contained in the STEP application book. Any application submitted that does not qualify for STEP Platinum or Diamond based on the incidence rate, Experience Modification Rate (EMR), substance abuse policy and fatality qualifying criteria listed in the application instructions below WILL NOT BE REFUNDED.
- Initials are required to confirm that the applicant has read and understands the qualifying criteria and STEP instructions outlined in this book.

### SECTION 4: COMPANY AND ABC CHAPTER CERTIFICATION

- Print Name/Title/Signature: Print name, title and sign on the appropriate lines. Note that this person MUST be the same person that signs the OSHA Form 300A (or owner/executive-level management).
- ABC Chapter Representative/Signature: After you have completed the company's STEP application, forward it with ALL required documentation to your local ABC chapter office. Once received, your ABC chapter representative will review and endorse the form and forward it to ABC National for processing.

Note: Processing of applications received without the endorsement of the local ABC chapter will be delayed.

### PROVISIONAL STEP LEVEL (ONLINE APPLICATIONS ONLY)

All online applicants will be notified instantly of their provisional STEP level upon submitting all required information. This is a provisional notification; final notification will occur when the STEP award is presented to the applicant upon review and confirmation of data by ABC National.



## STEP MAXIMUM ALLOWABLE INCIDENCE RATES BY NAICS CODE

NAICS Code	SIC Code	NAICS Category	BLS Average/ STEP Gold Maximum Incidence Rate	STEP Platinum Maximum Incidence Rate	STEP Diamond Maximum Incidence Rate
236110	1521, 1522	Residential Building Construction	3.3	2.5	1.7
236115	1521	New Single-Family Housing Construction (except Operative Builders)	3.3	3.1	2.1
236117	1531	New Housing Operative Builders	3.3	3.1	2.1
236118	1521	Residential Remodelers	3.3	3.1	2.1
236210	1541	Industrial Building Construction	2.4	1.8	1.2
236220	1542	Commercial and Institutional Building Construction	2.6	2.0	1.3
237110	1623	Water and Sewer Line and Related Structures Construction	4.1	3.1	2.1
237120	1623	Oil and Gas Pipeline and Related Structures Construction	0.7	0.5	0.4
237130	1623	Power/Communication Line and Related Structures Construction	2.8	2.1	1.4
237210	1629	Land Subdivision	2.3	1.7	1.2
237310	1611, 1622	Highway, Street, and Bridge Construction	3.5	2.6	1.8
237990	1629	Other Heavy and Civil Engineering Construction	1.8	1.4	0.9
238110	1771	Poured Concrete Foundation and Structure Contractors	4.5	3.4	2.3
238120	1791	Structural Steel and Precast Concrete Contractors	6.3	4.7	3.2
238130	1751	Framing Contractors	7.0	5.3	3.5
238140	1741	Masonry Contractors	4.0	3.0	2.0
238150	1793	Glass and Glazing Contractors	3.7	2.8	1.9
238160	1761	Roofing Contractors	5.6	4.2	2.8
238170	1761	Siding Contractors	3.6	2.7	1.8
238190	1741, 1742	Other Foundation, Structure and Building Exterior Contractors	4.5	3.4	2.3
238210	1731	Electrical Contractors and Other Wiring Installation Contractors	2.7	2.0	1.4
238220	1711	Plumbing, Heating, and Air Conditioning Contractors	3.8	2.9	1.9
238290	1796	Other Building Equipment Contractors	2.6	2.0	1.3
238310	1742	Drywall and Insulation Contractors	4.1	3.1	2.1
238320	1721	Painting and Wall Covering Contractors	3.0	2.3	1.5
238330	1752	Flooring Contractors	2.4	1.8	1.2
238340	1743	Tile and Terrazzo Contractors	2.6	2.0	1.3
238350	1751	Finish Carpentry Contractors	4.2	3.2	2.1
238390*	1751	Other Building Finishing Contractors	3.3	2.5	1.7
238910	1794	Site Preparation Contractors	2.5	1.9	1.3
238990	1799	All Other Specialty Trade Contractors	2.8	2.1	1.4

\*denotes NAICS code where BLS data was insufficient to calculate average incidence rate; rate used is for NAICS 2383 ("Building Finishing Contractors")

## 2018 STEP APPLICATION FORM (Want to save money? Apply online at [abc.org/stepapp](http://abc.org/stepapp))

**Note: ALL paper applications MUST include payment of the \$35 application processing fee**

### SECTION 1: COMPANY INFORMATION

Company Name: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP: \_\_\_\_\_

Contact Name: \_\_\_\_\_

Email: \_\_\_\_\_

Chapter: \_\_\_\_\_

This application and data: ☐ Represents entire company

☐ Represents specific location, dept. or div.

Is this IDENTICAL STEP application being used for other ABC chapters?

☐ Yes ☐ No If Yes, which chapters? \_\_\_\_\_

Primary NAICS Code **23** \_\_\_\_\_ (as entered in your OSHA 300A)

Supplier codes accepted: 423390, 327320, 423510, 423310, 423320

Annual volume (work in place): \_\_\_\_\_

Do you use STEP as a pre-qualifier? ☐ Yes ☐ No

Work Type: Residential \_\_\_\_\_ % Commercial \_\_\_\_\_ %

Industrial \_\_\_\_\_ % Public works/Military \_\_\_\_\_ %

Percentage of work performed: <100 miles of HQ \_\_\_\_\_ %

Within 101-250 miles \_\_\_\_\_ % >250 miles \_\_\_\_\_ %

Percentage of your contract work: Self-performed \_\_\_\_\_ %

Sub-Contracted \_\_\_\_\_ %

### SECTION 2: SAFETY PERFORMANCE DATA Refer to your 2017 OSHA FORM 300A for items (a) through (h)

a. Total number of DEATHS (line G on the OSHA 300A) \_\_\_\_\_

b. Total number of CASES with days away from work (line H on the OSHA 300A) \_\_\_\_\_

c. Total number of CASES with job transfer/restriction (line I on the OSHA 300A) \_\_\_\_\_

d. Total number of OTHER RECORDABLE CASES (line J on the OSHA 300A) \_\_\_\_\_

e. Total number of DAYS away from work (line K on the OSHA 300A) \_\_\_\_\_

f. Total number of DAYS of job transfer or restriction (line L on the OSHA 300A) \_\_\_\_\_

g. Annual average number of employees (as entered in your OSHA 300A) \_\_\_\_\_

h. Total hours worked by all employees (as entered in your OSHA 300A) \_\_\_\_\_

Incidence rate =  $\frac{(a + b + c + d) \times 200,000}{h}$  \_\_\_\_\_

Experience Modification Rate as of Jan. 1, 2018 (EMR or "mod factor"—contact insurance company) \_\_\_\_\_

Number of federal/state OSHA inspections in 2017 \_\_\_\_\_

Number of federal/state OSHA citations adjudicated issued (after settlements) in 2017

Willful \_\_\_\_\_ Repeat \_\_\_\_\_ Serious \_\_\_\_\_ Other than Serious \_\_\_\_\_

De Minimis \_\_\_\_\_

For calendar year 2015, 2016 or 2017 have you had any employee fatalities corporate-wide that resulted in an OSHA citation? ☐ Yes ☐ No

Length of safety portion of new-hire orientation (in minutes): \_\_\_\_\_

Do you conduct site-specific safety orientations for all employees? ☐ Yes ☐ No

Do you track near misses/hits/observations (situations that, had circumstance(s) been different, would have resulted in injuries/fatalities and/or an OSHA citation)?

☐ Yes ☐ No If yes, how many did you record in 2017? \_\_\_\_\_

Toolbox safety talks frequency: ☐ Daily ☐ Weekly ☐ Bi-weekly ☐ Monthly ☐ Other

Do you establish/participate in site safety committees at each jobsite? ☐ Yes ☐ No

Do you conduct safety training for employees beyond owner/user-required training?

☐ Yes ☐ No

Do you have a substance abuse program that includes a drug/alcohol screening process? ☐ Yes ☐ No

Have you signed the Drug- and Alcohol-Free Workplace Pledge at

[www.drugfreeconstruction.org](http://www.drugfreeconstruction.org)? ☐ Yes ☐ No

**NOTE: REQUIRED FOR PARTICIPATION IN STEP!**

Do you regularly establish pre-task plans/safety task analyses for work? ☐ Yes ☐ No

Do you conduct regular Jobsite Safety Analyses (JSAs)/Jobsite Hazard Analyses (JHAs)?

☐ Yes ☐ No

## SECTION 2: SAFETY PERFORMANCE DATA (Continued)

Please indicate the organizations your company uses for insurance brokerage, carrier, and insurance surety. (Check all that apply)

- |   |   |   |
|---|---|---|
| <input type="checkbox"/> ACSTAR                               | <input type="checkbox"/> Hudson Insurance                 | <input type="checkbox"/> South Coast Surety           |
| <input type="checkbox"/> Alliant Insurance                    | <input type="checkbox"/> INSURICA                         | <input type="checkbox"/> Surety One                   |
| <input type="checkbox"/> Arch Insurance                       | <input type="checkbox"/> JW Surety Bonds                  | <input type="checkbox"/> The Graham Company           |
| <input type="checkbox"/> Captive Program                      | <input type="checkbox"/> Liberty Mutual                   | <input type="checkbox"/> The Guarantee USA            |
| <input type="checkbox"/> CCI Surety                           | <input type="checkbox"/> Marsh & McLennan                 | <input type="checkbox"/> The Hartford                 |
| <input type="checkbox"/> Chubb                                | <input type="checkbox"/> Merchants Bonding Co             | <input type="checkbox"/> The Nitsche Group            |
| <input type="checkbox"/> CNA / CNA Surety                     | <input type="checkbox"/> Nationwide                       | <input type="checkbox"/> Travelers                    |
| <input type="checkbox"/> FCCI Surety                          | <input type="checkbox"/> Old Republic Surety              | <input type="checkbox"/> Zurich                       |
| <input type="checkbox"/> FICOH (First Insurance Co of Hawaii) | <input type="checkbox"/> Philadelphia Insurance Companies | <input type="checkbox"/> Other: (Please list company) |
| <input type="checkbox"/> Hanover Insurance                    | <input type="checkbox"/> RLI Surety                       | _____   |

## SECTION 3: 20 KEY COMPONENTS SAFETY SELF-ASSESSMENT

Use the enclosed self-assessment worksheet to calculate scores

- |  |  |
|--|--|
| A. Employer Involvement _____                | M. Toolbox Safety Meetings _____   |
| B. Employer Policy Statement on Safety _____ | N. Inspections _____   |
| C. Responsibility for Safety _____           | O. Supervisory Training Topics _____                                     |
| D. Trailing Indicators _____                 | P. Incident Investigation _____  |
| E. Resources for Safety _____                | Q. Use of Personal Protective Equipment (PPE) _____                      |
| F. Safety Program Goal Setting _____         | R. Safety Program Performance Review _____                               |
| G. Employer Supervisory Meetings _____       | S. Substance Abuse Program _____   |
| H. Pre-planning for Jobsite Safety _____     | T. Recordkeeping & Documents _____                                       |
| I. Employee Participation _____              | TOTAL _____  |
| J. New employee Orientation _____            | Are you part of ABC's AQC Program?    Yes    No                          |
| K. Safety Rules _____                        | I have read and understand all qualifying requirements and instructions. |
| L. Employee Safety Training _____            | Initials here: _____   |

## SECTION 4: COMPANY AND ABC CHAPTER CERTIFICATION

I certify that I have examined this document and that, to the best of my knowledge, the entries are true, accurate and complete.

Company Executive Name: \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_

To be filled out by ABC Chapter:

ABC Chapter Representative: \_\_\_\_\_

Signature: \_\_\_\_\_

All applicants MUST include a copy of their 2017 OSHA Form 300A with application. STEP Platinum applicants must also include a copy of their 2017 OSHA Form 300 with **employee names removed**. STEP Diamond applicants and applicants under 100 employees using the STEP Gold, Platinum or Diamond 3-year Incidence Rate Qualifier must include copies of OSHA forms 300 & 300A for 2015, 2016 & 2017. Companies using the 5-year incidence rate qualifier must include copies of OSHA forms 300 and 300A for 2013, 2014, 2015, 2016 and 2017.

## STEP PAYMENT INFORMATION

- ☐ STEP Platinum, \$235 \$\_\_\_\_\_
- ☐ STEP Diamond, \$435 \$\_\_\_\_\_
- ☐ Framed Certificates/Plaques (Platinum/Diamond only), \$50 X \_\_\_\_\_ = \$\_\_\_\_\_
- ☐ Unframed Certificates/Plaques, \$15 X \_\_\_\_\_ = \$\_\_\_\_\_
- ☐ Paper Application Processing Fee, \$35 \$\_\_\_\_\_
- Total \$\_\_\_\_\_
- Please enclose a check payable to ABC

## 20 KEY COMPONENTS OF SAFETY SELF-ASSESSMENT WORKSHEET

The 20 Key Components of effective company safety and training programs are listed below (see sections A through T). Each component contains columns that describe four levels of safety performance. Select the column that BEST describes your company's performance. **The score (number above the column) should be circled, and then written in the box labeled "SUB-SCORE."** Transfer the SUB-SCOREs to the application form's "20 Key Components" Section 3. Remember, each scoring column describes a set of actions/policies that your company currently undertakes. In order to achieve a particular score, your safety program must contain ALL of the listed criteria. Any scores on the STEP application that do not match any of the four available scoring options in each of the 20 Key Components will automatically be rounded down to the nearest listed score.

### A. EMPLOYER INVOLVEMENT

12	8	4	0
<ul style="list-style-type: none"> <li>Owner/CEO directly and actively participates in safety program</li> <li>Instills personal accountability for safety throughout company</li> <li>Tracks and annually reviews goals/objectives for safety</li> <li>Solicits feedback on program and seeks ways to improve it</li> <li>Commits reasonable resources (money, time, personnel, equipment, supplies, etc.) for program to achieve goals</li> <li>Safety is a part of everyone's performance appraisals</li> <li>Integrates safety into other facets of company operations</li> </ul>	<ul style="list-style-type: none"> <li>Members of company management participate in safety program</li> <li>Personal accountability for safety expected, but little or no recourse</li> <li>Has safety program goals/objectives, but does not track progress</li> <li>Provides resources for safety</li> </ul>	<ul style="list-style-type: none"> <li>Employer wants and supports safety, but does not actively participate</li> <li>Little personal accountability for safety – just "be safe."</li> <li>Provides limited funds for safety</li> </ul>	<ul style="list-style-type: none"> <li>Employer not involved in safety program and demonstrates little interest in it</li> <li>Safety left to site supervisory personnel to handle "as needed"</li> <li>No accountability for safety</li> <li>Little or no funding for safety activities</li> </ul>

### B. EMPLOYER POLICY STATEMENT ON SAFETY

6	4	2	0
<ul style="list-style-type: none"> <li>Is in writing and is signed and supported by owner/CEO</li> <li>Explained to employees at time of new hire orientation</li> <li>Explains value of safety in the company</li> <li>Commits to protecting people and environment, continually improving program, involving employees and meeting regulatory obligations</li> <li>States universal accountability for safety in company</li> <li>Is posted or part of employee safety policy</li> </ul>	<ul style="list-style-type: none"> <li>Policy exists and is in writing</li> <li>Not explained to employees, but most know of its existence</li> <li>Explains employer's general commitment to a safe workplace</li> <li>Is posted, part of employee safety policy or in company safety manual</li> </ul>	<ul style="list-style-type: none"> <li>Policy exists, but is not posted or put in safety manual</li> <li>Not explained to employees and most do not know of its existence</li> </ul>	<ul style="list-style-type: none"> <li>No policy exists</li> </ul>

### C. RESPONSIBILITY FOR SAFETY

9	6	3	0
<ul style="list-style-type: none"> <li>Responsibilities for safety defined for everyone in company (e.g., hazard reporting and correction, injury reporting, expected participation, PPE use, abide by safety policy, etc.)</li> <li>Is in writing and is part of employee safety policy</li> <li>Explained to employees at time of new hire orientation</li> <li>Supervisory personnel have additional responsibilities that are reviewed with them at time of hire or promotion</li> <li>A policy to hold everyone accountable for safety is in place and is universally applied</li> </ul>	<ul style="list-style-type: none"> <li>Responsibility for safety defined for everyone in company</li> <li>Is in writing, but not necessarily in employee safety policy</li> <li>Generally known to employees and supervisory personnel</li> <li>Accountability for safety is not always universally applied</li> </ul>	<ul style="list-style-type: none"> <li>Responsibility for safety rests solely with a designated safety coordinator or safety committee</li> <li>Responsibilities not in writing</li> <li>All employees know is that they are responsible for "being safe"</li> <li>Little or no accountability for safety</li> </ul>	<ul style="list-style-type: none"> <li>Responsibility for safety has not been defined within the company</li> <li>Little or no accountability for safety in the company</li> </ul>



## D. TRAILING INDICATORS (REVIEW OF CLAIMS AND KEY SAFETY RATES)

6	4	2	0
<ul style="list-style-type: none"> <li>• Key company personnel trained to know meaning and relevance of key safety rates and numbers (mod factor, loss ratio incidence rate, DART rate)</li> <li>• Mod factor of the current and previous year is below 0.800 (0.900 for companies with fewer than 100 employees)</li> <li>• Employer regularly reviews claims, claim costs and claims trends to gauge impact on company and guide resource allocation</li> </ul>	<ul style="list-style-type: none"> <li>• Key company personnel are familiar with key safety rates and numbers, but may not fully understand meaning or relevance</li> <li>• Mod factor of the current and previous year is below 0.900 (1.000 for companies with fewer than 100 employees)</li> <li>• Employer reviews claims with insurer as part of workers' comp policy renewal process</li> </ul>	<ul style="list-style-type: none"> <li>• Key company personnel are not familiar with key safety rates and numbers</li> <li>• Mod factor is at or below 1.000 for current year and at least one of past two years, OR has decreased two of past three years</li> </ul>	<ul style="list-style-type: none"> <li>• Mod factor is unknown</li> <li>• Mod factor has increased each of the past three years</li> </ul>

## E. RESOURCES FOR SAFETY

6	4	2	0
<ul style="list-style-type: none"> <li>• Reasonable resources (funds, time, personnel, equipment, supplies, etc.) are regularly budgeted or invested in safety</li> <li>• Return on safety investment is tracked to evaluate effectiveness of resource allocation and to guide future expenditure decisions</li> <li>• Resource availability and expectation is explained to supervisory personnel upon hire or promotion</li> </ul>	<ul style="list-style-type: none"> <li>• Reasonable resources are budgeted or invested in safety</li> <li>• Supervisory personnel are generally aware of company resources available for safety</li> </ul>	<ul style="list-style-type: none"> <li>• Minimal investments in safety</li> <li>• Money is taken from general funds as needed to react to safety needs (GC mandates, OSHA fines, accidents, etc.)</li> </ul>	<ul style="list-style-type: none"> <li>• Adequate resources are not made available for safety</li> </ul>

## F. SAFETY PROGRAM GOAL SETTING

9	6	3	0
<ul style="list-style-type: none"> <li>• Formal process in place to annually assess safety program needs and establish goals</li> <li>• Action plans are developed, documented and communicated to assure goals accomplished in a timely manner</li> <li>• Progression of action plans tracked, with status reports and feedback from those assigned tasks</li> <li>• Employer reviews goals, action plans and status reports to provide feedback, direction and support of initiatives</li> <li>• Process in place to evaluate degree of effectiveness action plan had in achieving end goal</li> </ul>	<ul style="list-style-type: none"> <li>• Safety program goals are established periodically and are documented, but not necessarily annually or following a formal process</li> <li>• A plan to achieve goals has been decided, but not documented</li> <li>• Status of action plan informally checked, but with no set frequency and with little follow-up or solicitation of feedback</li> <li>• Employer plays minor part in safety goal setting process</li> <li>• No process in place to gauge effectiveness of action plan in achieving end goal</li> </ul>	<ul style="list-style-type: none"> <li>• Informal or infrequent safety program goals are established</li> <li>• No or little documentation or employee knowledge of goals</li> <li>• No realistic action plans developed to actually accomplish goals</li> <li>• Employer not involved</li> <li>• Goals seldom tracked or reviewed</li> <li>• Goals rarely achieved</li> </ul>	<ul style="list-style-type: none"> <li>• No process of safety program goal setting</li> </ul>

## G. EMPLOYER SUPERVISORY MEETINGS

9	6	3	0
<ul style="list-style-type: none"> <li>• Employer conducts weekly supervisor meetings where safety is on the agenda</li> <li>• Meeting minutes taken and distributed for review</li> <li>• Meeting includes status report of site safety activities and pre-planning discussions</li> <li>• Review of "lessons learned"</li> <li>• Review of serious incidents</li> </ul>	<ul style="list-style-type: none"> <li>• At least monthly, employer conducts supervisor meetings where safety is on the agenda</li> <li>• Meeting includes status report of site safety activities</li> <li>• Review of serious incidents</li> </ul>	<ul style="list-style-type: none"> <li>• Occasional (less than monthly) supervisor meetings where safety is on the agenda</li> <li>• General discussion of safety – information given to supervisors on safety</li> <li>• Serious accidents usually reviewed</li> </ul>	<ul style="list-style-type: none"> <li>• Employer holds no supervisor meetings where safety is an agenda item</li> </ul>

## H. PRE-PLANNING FOR JOBSITE SAFETY

6	4	3	0
<ul style="list-style-type: none"> <li>• Supervisory and other key personnel are trained in pre-planning for safety</li> <li>• Safety pre-planning is integrated into the estimate, bid and pre-mobilization stages of projects</li> <li>• Checklist or similar document used to assure a consistent and comprehensive approach taken to exposure evaluation and resource needs</li> <li>• Plans regularly updated throughout life of project</li> <li>• Key components of pre-plan (including updates) are communicated with all site employees before implementation</li> </ul>	<ul style="list-style-type: none"> <li>• Supervisory personnel may have received some training in the safety pre-planning process, but not required</li> <li>• Safety pre-planning is required prior to start of site work</li> <li>• Checklist or similar document serves as a guide through the process</li> <li>• Safety resources provided as needed</li> </ul>	<ul style="list-style-type: none"> <li>• No established procedure for project safety pre-planning, but some planning is done</li> <li>• No checklist or other document used as guide</li> <li>• Safety resources often provided only after problems or needs have been encountered</li> </ul>	<ul style="list-style-type: none"> <li>• No safety pre-planning is done</li> </ul>

## I. EMPLOYEE PARTICIPATION

9	6	3	0
<ul style="list-style-type: none"> <li>• Opportunities for employee participation in safety program are clearly identified (e.g., safety surveys, hazard reporting, incident investigation, safety instruction, toolbox talks, policy development/auditing, new hire mentoring, committees, job safety analysis development, pre-planning, etc.)</li> <li>• Supervisory personnel are informed of these opportunities and trained on how to actively solicit employee involvement</li> <li>• Participation opportunities explained to employees, along with expectation for active involvement</li> <li>• Participation opportunities evaluated to ensure they are meaningful, necessary resources are available (time, money, staff, equipment, etc.) and potential barriers are identified and eliminated</li> </ul>	<ul style="list-style-type: none"> <li>• Opportunities for employees to participate in safety program exist, but are not specifically documented</li> <li>• Supervisors provided limited training in soliciting employee participation, but nonetheless encourage involvement</li> <li>• Employees may be aware of opportunities, but no specific participation expectations</li> <li>• Limited focus on identifying and eliminating potential barriers to participation</li> </ul>	<ul style="list-style-type: none"> <li>• Employees encouraged to participate in safety program, but no concerted efforts made to engage them</li> <li>• Offers general communication outlet: "If you have any questions or concerns, speak with your foreman."</li> <li>• Employee suggestion/comment process in place</li> </ul>	<ul style="list-style-type: none"> <li>• No opportunities for employees to participate in safety program</li> </ul>

## J. NEW EMPLOYEE ORIENTATION

6	4	2	0
<ul style="list-style-type: none"> <li>• Documented orientation process in place for all new or transferred employees (who gets orientation, when, how, by whom and topics to be covered)</li> <li>• Orientation topics include: <ul style="list-style-type: none"> <li>- Explanation of employer safety commitment and expectations</li> <li>- Safety responsibilities</li> <li>- PPE expectations</li> <li>- Key workplace safety rules that pertain to site and/or major job hazard exposures</li> <li>- Hazard communication</li> <li>- Hazard, injury and emergency reporting procedures</li> <li>- Key safety skills demonstration (wearing harness, adjusting guards, PPE use, etc.)</li> </ul> </li> <li>• New hires assigned a safety mentor until orientation process complete</li> <li>• New hire performance evaluation process established to give feedback to new hires on pre-determined frequency (30 days and 60 days)</li> <li>• Records maintained showing dates, person(s) doing orientation, assigned mentor(s), topics covered and employee signature</li> </ul>	<ul style="list-style-type: none"> <li>• Orientation is given to new employees; however, process has not been formalized (exact process documented)</li> <li>• Orientation includes at a minimum: <ul style="list-style-type: none"> <li>- PPE expectations</li> <li>- Key workplace safety rules that pertain to site and/or major job hazard exposures</li> <li>- Hazard communication</li> <li>- Hazard, injury and emergency reporting procedures</li> </ul> </li> <li>• Process may or may not involve safety mentors</li> <li>• No new hire performance evaluation process</li> <li>• Record of orientation, with employee signature, maintained</li> </ul>	<ul style="list-style-type: none"> <li>• Informal or on-the-job safety instruction is given to new hires</li> <li>• No uniform process or list of topics to cover</li> <li>• No documentation is maintained</li> </ul>	<ul style="list-style-type: none"> <li>• No orientation is given to new employees</li> </ul>

## K. SAFETY RULES

9	6	3	0
<ul style="list-style-type: none"> <li>Rules are in writing and are part of employee safety policy</li> <li>Explained to employees at time of new hire orientation</li> <li>Clear, concise and easy to understand</li> <li>Specific to trade and/or scope of work operations</li> <li>Enforced equally among all employees</li> <li>Regularly updated to reflect change in company policy and/or regulation</li> <li>Subcontractors held equally responsible for safety rules</li> </ul>	<ul style="list-style-type: none"> <li>Rules are in writing and posted, but not necessarily in employee safety policy</li> <li>Explained to employees at one time or another</li> <li>Specific to trade and/or scope of work operations</li> <li>Usually enforced equally among all employees</li> <li>Periodically updated to reflect change in company policy and/or regulation</li> <li>Subcontractors held equally responsible for safety rules</li> </ul>	<ul style="list-style-type: none"> <li>Some general safety rules exist, but are not posted or reviewed with employees</li> <li>Rules that do exist are boilerplate rules and are not necessarily specific to company's trade and/or scope of operations</li> <li>Not regularly enforced</li> <li>Rarely reviewed or updated</li> <li>Subcontractors not responsible for following safety rules</li> </ul>	<ul style="list-style-type: none"> <li>There are no safety rules</li> </ul>

## L. EMPLOYEE SAFETY TRAINING

12	8	4	0
<ul style="list-style-type: none"> <li>Based on annual safety training needs assessment, an agenda is developed and instituted (who needs what, when and who will train)</li> <li>Formal training topics include: <ul style="list-style-type: none"> <li>Recognition and control of hazards specific to trade/work tasks (e.g., heavy equipment, lift operation, LOTO and arc flash, rigging, crane operation, confined space entry, temp traffic control, hot work, excavation safety, steel erection, blasting safety, noise, lead, asbestos, mold exposure, etc.)</li> <li>First-Aid/CPR/AED</li> <li>OSHA topics (e.g., PPE, hazcom, electrical, scaffold, ladder/stairs, fire prevention and protection, tool safety, fall protection and prevention, etc.)</li> <li>Driver safety</li> <li>Environmental compliance</li> <li>Pertinent DOT compliance and CDL annual training</li> </ul> </li> <li>Conducted by competent/qualified safety instructors</li> <li>Employee training comprehension and understanding is verified and documented (e.g., test, skills assessment, etc.)</li> <li>Records kept of all training – date, attendees, topics covered and trainer</li> </ul>	<ul style="list-style-type: none"> <li>Safety training needs are determined each year, but a formal assessment and training agenda are not necessarily used</li> <li>Formal training topics include: <ul style="list-style-type: none"> <li>Recognition and control of hazards specific to trade/work tasks (e.g., heavy equipment, lift operation, LOTO and arc flash, rigging, crane operation, confined space entry, temp traffic control, hot work, excavation safety, steel erection, blasting safety, noise, lead, asbestos, mold exposure, etc.)</li> <li>First-Aid/CPR/AED</li> <li>OSHA topics (e.g., PPE, hazcom, electrical, scaffold, ladder/stairs, fire prevention and protection, tool safety, fall protection and prevention, etc.)</li> </ul> </li> <li>Conducted by competent/qualified safety instructors</li> <li>Employees only retrained as required (OSHA) and when visibly lacking safety skills</li> </ul>	<ul style="list-style-type: none"> <li>Informal or on-the-job safety training arranged as needed</li> <li>No established training agenda</li> <li>Limited or no training documentation kept</li> </ul>	<ul style="list-style-type: none"> <li>No formal safety training provided</li> </ul>

## M. TOOLBOX SAFETY MEETINGS

6	4	2	0
<ul style="list-style-type: none"> <li>Regularly held at least weekly</li> <li>Attendance and topic documentation kept</li> <li>Supervisor actively solicits employee participation (e.g., volunteer to present talk, share experience, Q&amp;A, etc.)</li> <li>Employees participate</li> <li>Owner/CEO occasionally attends</li> </ul>	<ul style="list-style-type: none"> <li>Regularly held at least monthly</li> <li>Attendance and topic documentation kept</li> <li>Employees encouraged to participate</li> </ul>	<ul style="list-style-type: none"> <li>Toolbox meetings held occasionally (less than once per month)</li> </ul>	<ul style="list-style-type: none"> <li>No toolbox meetings held with employees</li> </ul>

## N. INSPECTIONS

9	6	3	0
<ul style="list-style-type: none"> <li>Weekly jobsite inspections are made by site supervisor</li> <li>Inspection documented, along with assignment of responsibility and expected completion date</li> <li>Potentially serious safety issues corrected immediately</li> <li>Less serious safety issues corrected promptly</li> <li>Follow-up process to confirm action taken and that it is producing expected results</li> </ul>	<ul style="list-style-type: none"> <li>Monthly jobsite inspections are made by site supervisor or an employer representative</li> <li>Inspection documented, along with assignment of responsibility and expected completion date</li> <li>Potentially serious safety issues corrected immediately</li> <li>Less serious safety issues corrected promptly</li> </ul>	<ul style="list-style-type: none"> <li>Informal jobsite inspections (walk-through) are made by site supervisor</li> <li>No documentation or follow-up</li> <li>Safety issues corrected ASAP</li> </ul>	<ul style="list-style-type: none"> <li>No inspections conducted</li> </ul>

## O. SUPERVISORY TRAINING TOPICS

9	6	3	0
<ul style="list-style-type: none"> <li>All supervisory personnel receive training in:               <ul style="list-style-type: none"> <li>Company safety policy</li> <li>Employer's supervisor safety expectations</li> <li>First Aid/CPR/AED</li> <li>OSHA-10 or greater</li> <li>Competent person for trade/task-specific topics</li> <li>Emergency response</li> <li>Conducting effective meetings</li> <li>Accident investigation</li> <li>Job Safety Analysis (JSA)</li> <li>Job safety pre-planning</li> <li>Jobsite safety inspection</li> <li>Leadership and HR skills</li> </ul> </li> <li>Annual refresher training</li> <li>Opportunities for professional development offered regularly</li> <li>Supervisors have access to a safety professional</li> <li>Training facilities conducive to learning and quality trainers are used</li> </ul>	<ul style="list-style-type: none"> <li>Supervisory personnel receive training in:               <ul style="list-style-type: none"> <li>Company safety policy</li> <li>Employer's supervisor safety expectations</li> <li>First-Aid/CPR/AED</li> <li>OSHA-10 or greater</li> <li>Competent person for trade/task-specific topics</li> <li>Emergency response</li> <li>Accident investigation</li> <li>Jobsite safety inspection</li> </ul> </li> <li>Supervisors have access to sources of safety information or knowledge</li> <li>Competent trainers are used</li> </ul>	<ul style="list-style-type: none"> <li>Supervisory personnel receive safety training in at least half of the following:               <ul style="list-style-type: none"> <li>Company safety policy</li> <li>Employer's supervisor safety expectations</li> <li>First Aid/CPR/AED</li> <li>OSHA-10 or greater</li> <li>Competent person for trade/task-specific topics</li> <li>Emergency response</li> <li>Accident investigation</li> <li>Jobsite safety inspection</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>No specific training program for supervisory personnel</li> </ul>

## P. INCIDENT INVESTIGATION

9	6	3	0
<ul style="list-style-type: none"> <li>Supervisors trained in the techniques of accident investigation</li> <li>Accidents and near misses are investigated promptly by site supervisor</li> <li>Reports are completed for all accidents</li> <li>Causal factors determined</li> <li>Follow-up to assure corrective actions taken</li> <li>"Lessons learned" shared with other jobsites</li> <li>Employer reviews all accidents that exceed set cost/criteria</li> </ul>	<ul style="list-style-type: none"> <li>Supervisors receive a basic level of accident investigation training</li> <li>Accidents are investigated by site supervisor</li> <li>Reports are completed for all accidents</li> <li>Remedial actions taken to prevent recurrence of similar accidents</li> <li>Employer reviews only very serious accidents</li> </ul>	<ul style="list-style-type: none"> <li>Supervisors receive little or no accident investigation training</li> <li>Accidents usually investigated by supervisor, but may be investigated by someone else</li> <li>Reports not always completed</li> <li>Little or no attempt to identify causal factors or take corrective actions</li> <li>"Lessons learned" not shared</li> </ul>	<ul style="list-style-type: none"> <li>Accidents are not investigated to determine cause</li> </ul>

## Q. USE OF PERSONAL PROTECTIVE EQUIPMENT (PPE)

9	6	3	0
<ul style="list-style-type: none"> <li>Written PPE policy</li> <li>Annual documented assessment of PPE needs</li> <li>Process instituted by which suitability and effectiveness of PPE is evaluated by field personnel</li> <li>Employees informed of PPE requirements for each job</li> <li>Employees trained in PPE selection/approval, inspection, use and care</li> <li>Company PPE policy consistently and universally enforced</li> </ul>	<ul style="list-style-type: none"> <li>Written PPE policy</li> <li>Employees informed of PPE requirements for each job</li> <li>Employees trained in PPE selection/approval, inspection, use and care</li> <li>Company PPE policy usually enforced</li> </ul>	<ul style="list-style-type: none"> <li>PPE policy exists, but is rarely enforced without pressure from site GC</li> <li>PPE is provided and its use encouraged</li> <li>Some training on PPE use is arranged</li> </ul>	<ul style="list-style-type: none"> <li>No PPE policy</li> <li>Use of PPE is left to the discretion of each employee, resulting in rare use</li> </ul>



## R. SAFETY PROGRAM PERFORMANCE REVIEW

6	4	2	0
<ul style="list-style-type: none"> <li>• Owner/CEO reviews safety program performance every six months</li> <li>• Emphasis of review is on whether program is producing expected results and on where opportunities for improvement exist</li> <li>• Defined criteria exist against which performance is measured (e.g., safety surveys conducted, trainings held, incidence rates, loss ratios, progress toward annual goals, safety meetings, OSHA inspection record, prevention of recurring incidents/hazards, employee participation, etc.)</li> <li>• Results are documented</li> <li>• Results become part of safety staff and/or supervisor evaluations</li> <li>• Following each review, meeting conducted with safety staff and/or supervisory personnel to discuss results and expectations</li> </ul>	<ul style="list-style-type: none"> <li>• Owner/CEO is involved in an annual review of safety program to determine if it is producing expected results</li> <li>• Some criteria exist against which performance is measured</li> <li>• Process is generally not documented</li> <li>• Results do not significantly affect safety staff and/or supervisor evaluations</li> <li>• Results are eventually discussed with safety staff and/or supervisory personnel</li> </ul>	<ul style="list-style-type: none"> <li>• No regular (pre-determined frequency) reviews of safety program performance</li> <li>• Limited owner/CEO involvement – mainly left to someone else (safety administrator, insurance company, etc.)</li> <li>• Subjective review of safety activities – mainly serves as a “year in review” and not an assessment of performance and improvement opportunity</li> <li>• Results may or may not be reviewed with supervisory personnel</li> </ul>	<ul style="list-style-type: none"> <li>• No review of safety program performance</li> </ul>

## S. SUBSTANCE ABUSE PROGRAM

6	4	2	0
<ul style="list-style-type: none"> <li>• Employee safety policy contains strict rules regarding drug and alcohol use</li> <li>• Drug/alcohol testing for: pre-hire, random and reasonable suspicion</li> <li>• Policy actively enforced</li> <li>• Supervisory personnel trained in workplace substance abuse</li> <li>• Employee substance abuse prevention education initiatives offered</li> <li>• Company has an employee assistance program</li> <li>• Company keeps counseling and testing records</li> </ul>	<ul style="list-style-type: none"> <li>• Company has substance abuse verbiage in employee safety policy</li> <li>• No drug/alcohol testing, or it's “for cause” only</li> <li>• Company makes effort to enforce policy</li> <li>• Supervisors are trained in hazards of drugs and alcohol on the job</li> </ul>	<ul style="list-style-type: none"> <li>• Company has substance abuse verbiage in safety manual</li> <li>• No drug/alcohol testing</li> <li>• Company makes no or little effort to enforce policy</li> </ul>	<ul style="list-style-type: none"> <li>• Company has no policy regarding workplace substance abuse</li> </ul>

## T. RECORDKEEPING AND DOCUMENTS

6	4	2	0
<ul style="list-style-type: none"> <li>• Company maintains accurate and up-to-date records and documents for:               <ul style="list-style-type: none"> <li>- OSHA injury and illness records (reports, 300 log and 300A summary log)</li> <li>- Safety training, including verification of learning (test, skills evaluation, etc.)</li> <li>- OSHA-required written programs</li> <li>- Employee safety policy</li> <li>- Accident investigations</li> <li>- Site inspections/surveys, including verification of action taken</li> <li>- Safety orientations</li> <li>- Safety pre-planning</li> <li>- Loss runs</li> <li>- Employee exposure and monitoring data and reports</li> <li>- Job safety analysis (JSA)</li> <li>- Safety committee/meeting minutes</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Company maintains records and documents for:               <ul style="list-style-type: none"> <li>- OSHA injury and illness records (reports, 300 log and 300A summary log)</li> <li>- Safety training</li> <li>- OSHA-required written programs</li> <li>- Employee safety policy</li> <li>- Accident investigations</li> <li>- Safety inspections/surveys</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• Company maintains minimal records, which may or may not be up to date:               <ul style="list-style-type: none"> <li>- OSHA injury and illness records (reports, 300 log and 300A summary log)</li> <li>- Basic safety policy</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• No records are kept for safety-related activities or policies</li> </ul>



OCTOBER 12TH, 10:15 P.M.

# A GOOD NIGHT'S SLEEP, WITH BLANKET COVERAGE

IN AN  
INSTANT,  
BILL LEWIS  
MANAGED HIS  
RISK AND GOT  
THE JOB DONE

The hotel renovation had to be completed in five weeks. It would take multiple subcontractors to pull it off, and Bill had no time to waste on paperwork or mistakes. Thanks to CNA's Blanket Additional Insured Coverage, the contractors insured with CNA's form could meet the project's insurance requirements and start working without delay — allowing Bill to meet his deadline, and sleep like a baby.

When it comes to trade-specific coverages that increase efficiency and peace of mind ... we can show you more.®

To learn how CNA's builders and contractors program can help you maximize business efficiency, contact your independent agent or visit [www.cna.com/abc](http://www.cna.com/abc).

**CNA**



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