



North Carolina Department of Labor

STAR Program

Policies and Procedures Manual

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STAR Policies and Procedures Manual

I.	Purpose of the North Carolina STAR Programs	2
II.	STAR Program Description	3
III.	Carolina Star Program.....	4
IV.	Rising Star Program.....	14
V.	Building Star Program	17
	Building Star for Specialty Trade Contractors (Subcontractors)	
VI.	Public Sector Star Program	22
VII.	Eligibility	32
VIII.	Assurances	33
IX.	Application for STAR Programs	35
X.	Pre-Approval Onsite Review	36
XI.	Recommendation for Program Approval	39
XII.	Recommendation for Program Denial	39
XIII.	Inspection Requirements	40
XIV.	Post-Approval Contact/Assistance	41
XV.	Periodic Onsite Evaluation of Approved Worksites/Ceremony	41
XVI.	Termination or Withdrawal	48
XVII.	Reinstatement.....	49
<i>Appendix I</i>		
	STAR Injury and Illness Rate Calculation Worksheet.....	50
<i>Appendix II</i>		
	Safety and Health Program Evaluation Worksheet.....	52

I. *Purpose of the North Carolina STAR Programs*

The Occupational Safety and Health Administration (“OSHA”) has long recognized that compliance with occupational safety and health standards and regulations alone cannot accomplish all the goals of the act. Rules, no matter how carefully conceived and developed, will never cover all unsafe and unhealthful activities and conditions. Furthermore, limited resources will not permit regular or exhaustive inspections of all of the state’s workplaces. No amount of rule setting and enforcement can replace the understanding of work processes, materials, and hazards that comes with employers’ and employees’ day-to-day, on-the-job experience. This knowledge, combined with the ability to evaluate and address hazards rapidly and to reinforce positive actions, places employers in a unique position to improve workplace safety and health in ways simply not available to The North Carolina Department of Labor, Occupational Safety and Health Division (“OSHNC”).

The North Carolina STAR Programs (“STAR Programs”) include: Carolina Star, Rising Star, Building Star and Public Sector Star. The purpose of the STAR Programs is to emphasize the importance of, encourage the improvement of, and recognize excellence in site-specific occupational safety and health programs. These programs are composed of management systems for preventing or controlling occupational hazards. Sites employing these systems not only are working to comply with OSHNC’s rules, but also are striving to excel by using flexible and creative strategies that go beyond the rules to provide the best feasible protection for their employees. In the process, these worksites serve as models for effective safety and health programs in their industries. Moreover, STAR worksites have demonstrated workers’ compensation cost reductions, reduced employee turnover, quality improvements, and other benefits which are helping to convince skeptics that productivity, quality, profitability, and safety are complementary outcomes.

STAR Program participants enter into a new relationship with OSHNC. In this innovative public/private partnership, cooperation and trust nourish improvements in safety and health, not just at STAR sites, but also beyond the worksite boundaries. The STAR Programs and the Federal Voluntary Protection Program (VPP) companies have frequent opportunities to provide the state and federal agencies with input on safety and health matters. At the same time, the recognition and status gained by their participation in the STAR Programs, and their commitment to improving their industries and communities, enable companies to accomplish a broad range of safety and health objectives. STAR Program participants mentor other worksites interested in improving their safety and health programs, conduct safety and health training and outreach seminars, and hold safety and health conferences that focus on leading-edge safety and health issues.

Worksites in the STAR Programs are removed from programmed inspection lists for a period based on their type of program participation, unless they choose to remain on the lists. This helps OSHNC to focus its inspection resources on establishments that are less likely to meet the requirements of the OSHNC rules. However, OSHNC continues to

investigate valid employee safety and health complaints, fatalities and catastrophes, and significant chemical spills or leaks at STAR sites according to established agency procedures.

Participation in any of the programs does not diminish existing employer and employee responsibilities and rights under the act. In particular, OSHNC does not intend to increase the liability of any party at an approved STAR worksite. Employees or any representatives of employees taking part in an OSHNC-approved STAR safety and health program do not assume the employer's statutory or common law responsibilities for providing safe and healthful workplaces; nor are employees and their representatives expected to guarantee a safe and healthful work environment.

The programs included in STAR Programs are voluntary in the sense that no employer is required to participate, and any employer, at the discretion of the Recognition Program Manager, may choose to apply. Compliance with OSHNC rules and applicable laws remains mandatory. Initial achievement and continuing maintenance of the STAR Program requirements are conditions of participation.

The commissioner of labor determines both approval for initial participation and advancement, in the STAR Programs and any termination from the programs.

II. *STAR Program Description*

The STAR Programs emphasize the importance of comprehensive worksite safety and health management programs in meeting the goal of the OSHA Act which is to assure safe and healthful working conditions for working men and women. This emphasis is demonstrated through assistance to employers in their efforts to reach the STAR Program level of excellence, cooperation among government, labor, and management to resolve safety and health problems, and through official recognition of excellent safety and health programs. STAR worksites are not expected to be perfect, but they are expected to effectively protect their employees from the hazards of the workplace through their safety and health programs.

The sites do this by meeting established, rigorous safety and health program management criteria. The STAR Programs consist of four programs: **Carolina Star, Rising Star, Building Star, and Public Sector Star**. The Carolina Star Program *recognizes worksites that are self-sufficient in their ability to control hazards at the worksite*. The Rising Star Program *recognizes worksites that have good safety and health programs, but must take additional steps to reach Carolina Star Program quality*. The Building Star Program *recognizes construction companies and worksites that have Carolina Star Program quality safety and health programs, but require demonstration of approaches that differ from current Carolina Star Program requirements*. As with the previously mentioned programs, the Public Sector Star Program *recognizes state agencies and local governments that are of Carolina Star Program quality, and are self-sufficient in their ability to control hazards at their worksites*.

When OSHNC approves an applicant for participation in the STAR Programs, the agency recognizes that the applicant is providing, at a minimum, the basic elements of ongoing, systematic protection of employees at the worksite in accordance with rigorous STAR Program criteria. This protection makes routine OSHNC enforcement efforts unnecessary. Therefore, the worksite is removed from OSHNC's programmed inspection lists for a duration period *based on its type of program participation* (unless the participant chooses not to be removed). The STAR Program symbols of recognition include certificates and flags, or plaques of approval, identifying the program in which the worksite participates. The participant also may choose to use program logos on such items as letterhead, shirts, and mugs.

STAR Program participants work cooperatively with the OSHNC staff, both in the resolution of safety and health problems and in the promotion of effective safety and health management programs. This cooperation takes such forms as presentations before meetings of labor, industry, and government groups, input in the development of OSHNC rules, and participation in activities including OSHNC staff, mentoring, outreach, and training.

III. The Carolina Star Program

The Carolina Star Program recognizes leaders in occupational safety and health who are successfully protecting employees from death, injury, and illness by implementing comprehensive and effective safety and health programs. Carolina Star participants willingly share their experience and expertise, and they encourage others to work toward comparable success. These worksites are self-sufficient in their ability to control hazards at their worksites.

Note: The Carolina Star Program is not designed for the public sector or construction industry. However, onsite contractors, temporary agencies, etc., may apply if they receive written support from the worksite's owner and they have been working onsite for at least twelve months.

A. Qualifications for the Carolina Star Program

1. Injury and Illness Rates/Safety and Health Program Assessment

The general industry, private sector applicant, at the time of approval, must meet the following criteria: The most recent three-year average for both the total recordable case (TRC) rates and cases with days away from work, job transfer, or restriction (DART) rates must be at or below 50 percent of the most recent published Federal BLS rate for the appropriate North American Industrial Classification System (NAICS) industry, preferably using a 6-digit NAICS rate, or highest digit available. Applicants with less than three years' experience shall be considered based on total experience provided that such experience shall not be less than twelve months. *Also include rates and hours worked for any*

*temporary employees, as well as rates and hours worked for any contractors who have worked 500 or more hours in any calendar quarter at that worksite. An **Injury and Illness Rate Calculation Worksheet** is included in Appendix I of this document.*

In addition to the NAICS industry rates, the applicant must also score itself on the **Self-Assessment Checklist** (included in the “North Carolina Department of Labor STAR Application,” Appendix II). This worksheet may be used to assess the progress of the worksite’s safety and health foundation. The assessment worksheet needs to be *completed and signed by a safety and/or health committee, team, unit, task group, etc.*

For qualifying worksites, an alternative method for calculating hypothetical incidence rates may be used. To determine whether the employer qualifies for the Alternative Calculation Method, do the following:

- a. Using the most recent employment statistics (i.e., hours worked in the most recent calendar year) and the calculation criteria listed in Appendix I, calculate a hypothetical rate for the employer assuming that the employer had two cases during the year.
- b. Compare that hypothetical rate to the most recent published Federal BLS rate for that NAICS industry.
- c. If the hypothetical rate (based on two cases) gives the worksite a rate higher than the Federal BLS average for its industry, then the Alternative Calculation Method can be used. If the hypothetical rate is lower than the Federal BLS rate, then the Alternative Calculation Method cannot be used.
- d. If the employer qualifies for the Alternative Calculation Method, the best three of the last four calendar years shall be used to calculate the three-year rate for the employer.

Note: If no 6-digit Federal BLS NAICS industry rates are available, utilize the next highest digit NAICS industry rates published by BLS.

2. Term of Participation

The term for participation in an approved Carolina Star Program is open-ended so long as the participating worksite continues to maintain its excellent safety and health program as evidenced by favorable onsite evaluation by the review team every 36 months, and submits the annual

information required, i.e., annual TRC and DART rate data and safety and health program evaluation (see “Assurances” Section VIII.G.).

3. Program Elements

All critical elements of a basic safety and health management program must be part of the written program. These critical elements are management commitment and leadership, employee involvement and participation, worksite hazard analysis, hazard prevention and control, and safety and health training. All aspects of the safety and health management program must be appropriate to the size of the worksite and the type of industry. All safety and health management program elements needed for Carolina Star Program success must be in effect for a period of not less than twelve months before Carolina Star Program approval.

4. Safety and Health Program Qualifications

a. Management Commitment and Leadership. Each applicant must be able to demonstrate top-level management leadership in the worksite’s safety and health program. Management systems for comprehensive planning must address protection of employee safety and health.

- (1) **Commitment to Safety and Health Protection.** Authority and responsibility for employee safety and health must be integrated with the overall management system of the organization and must involve employees. This commitment includes:
 - (a) **Policy.** Clearly established policies for employee safety and health protection that have been communicated to and understood by employees.
 - (b) **Goal and Objectives.** Established and communicated goal(s) for the safety and health program and results-oriented objectives for meeting that goal, so that all members of the organization understand the results desired and the measures planned for achieving them, especially those factors that are applicable directly to them.
- (2) **Commitment to Carolina Star Participation.** Management must also clearly demonstrate commitment to meeting and maintaining the requirements of the Carolina Star Program.

- (3) Planning. Planning for safety and health must be a part of the overall management planning process.
- (4) Management Leadership. Managers must provide visible leadership in implementing the program. This must include:
 - (a) Establishing clear lines of communication with employees.
 - (b) Setting an example of safe and healthful behavior.
 - (c) Creating an environment that allows for reasonable employee access to top worksite management.
 - (d) Ensuring that all employees at the worksite, including contract employees, are provided equally high quality safety and health protection.
 - (e) Clearly defining responsibility in writing, with no unassigned areas. Each employee, at any level, must be able to describe his or her responsibility for safety and health.
 - (f) Assigning commensurate authority to those who have responsibility.
 - (g) Affording adequate resources to those who have responsibility and authority. This includes such resources as time, training, personnel, equipment, budget, and access to expert information.
 - (h) Holding managers, supervisors, and employees accountable for meeting their responsibilities, so that essential tasks will be performed. In addition to clearly defining and implementing authority and responsibility for safety and health protection, management leadership entails evaluating managers and supervisors annually, and operating a documented system for reinforcing good and correcting deficient performance.

b. Employee Involvement and Participation

- (1) Employee Involvement. Employees must be meaningfully involved in the safety and health program. The worksite

culture must enable and encourage employee involvement in the planning and operation of the safety and health program and in decisions that affect employees' safety and health. The requirement for employee participation may be met in a variety of ways to participate in safety and health problem identification and resolution. This involvement must be in addition to the individual right to notify appropriate managers of hazardous conditions and practices and to have issues addressed. Examples of acceptable employee involvement include, but are not limited to, the following:

- (a) Ad hoc safety and health problem-solving groups.
 - (b) Participating in audits and/or worksite inspections.
 - (c) Participating in accident and incident investigations.
 - (d) Employee improvement suggestion programs.
 - (e) Safety and health training of other employees.
 - (f) Analysis of job/process hazards.
 - (g) Safety observers.
 - (h) Committees/teams that plan and conduct safety and health awareness programs.
 - (i) Legally constituted safety and health committees (established through the bargaining process at organized sites and in conformance to National Labor Relations Act requirements at nonunion worksites).
- (2) Joint Labor-Management Safety and Health Committees. If a joint labor-management safety and health committee is operating, the applicant must demonstrate that the committee has the following characteristics or justified alternatives:
- (a) Has a minimum of one year's experience providing safety and health advice and making periodic worksite inspections.

- (b) Has at least equal representation by bona fide employee representatives who work at the worksite and who are selected, elected, or approved by a duly authorized collective bargaining organization, if one exists.
 - (c) Mandatory, no exception - meets regularly, keeps minutes of the meetings, and follows quorum requirements of at least half of the members of the committee, including representatives of both employees and management.
 - (d) Conducts monthly inspections of the entire worksite, or more frequently as needed. [Note: Must have at least equal employee representation when conducting the inspections].
 - (e) Observes or assists in the investigation and documentation of major accidents.
 - (f) Has access to all relevant safety and health information.
 - (g) Has adequate training to recognize hazards and to perform other assigned safety and health duties.
- (3) Contract Employee Coverage. All onsite contractor, subcontractor, temporary, or other specialized industry employees are required to follow worksite safety and health rules and procedures applicable to their activities while at the worksite.
- (a) Essentially, participants are expected to require of their contractor(s) what OSHNC requires of them - an effective safety and health program management system in place.
 - (b) Participants must demonstrate that they have considered the safety and health management programs and/or performance history of all contractors during the evaluation and selection of these contractors.
 - (c) Participants must document that all contractors and subcontractors operating routinely at the worksite maintain effective safety and health management

programs and comply with applicable safety and health rules and regulations. The documentation must describe:

- The authority for the oversight, coordination, and enforcement of those programs by the applicant, and there must be documentary evidence of the exercise of this authority at the worksite.
- The means for prompt elimination or control of hazards, however detected, by the applicant in the event that contractors or individuals fail to correct or control such hazards.
- The penalties, including contractor correction and/or dismissal from the worksite, for willful or repeated noncompliance by contractors, subcontractors, or individuals.

(4) **Safety and Health Program Evaluation.** The applicant must have a system for evaluating the operation of the safety and health program annually to judge success in meeting the program's goal and objectives, so that those responsible can determine and implement changes needed to improve employee safety and health protection.

- (a) The system must provide for an annual written narrative report with recommendations for timely improvements, assignment of responsibility for those improvements, and documentation of timely follow-up action or the reason no action was taken.
- (b) The evaluation must assess the effectiveness of all elements described in "Safety and Health Program Qualifications" (see Section III.A.4.) and any other elements of the worksite's safety and health program, including outreach efforts such as mentoring other worksites, making presentations at meetings and conferences, input into OSHNC's rules setting, and helping OSHNC to carry out its mission.

c. Worksite Hazard Analysis. Management of safety and health programs must begin with a thorough understanding of all hazardous situations to which employees may be exposed and the

ability to recognize and correct all existing hazards as they arise. This requires:

- (1) Comprehensive safety and health surveys at intervals appropriate for the nature of workplace operations which include:
 - (a) A baseline health hazard exposure assessment with strategies for initial and subsequent industrial hygiene monitoring, accomplished through initial comprehensive industrial hygiene surveying.
 - (b) A baseline survey of safety hazards accomplished through an initial comprehensive worksite survey and subsequent survey as needed.
 - (c) The use of nationally recognized procedures for all sampling, testing, and analysis with written records of results.
- (2) Process to ensure analysis of all newly acquired or altered facilities, processes, materials, equipment, and/or phases before use begins, to identify hazards and the means for their prevention or control.
- (3) Routine examination and analysis of safety and health hazards associated with individual jobs, processes, or phases and inclusion of the results in training and hazard control programs. This includes job hazard analysis and process hazard review.
- (4) A system for conducting, as appropriate, routine self-inspections that follows written procedures or guidance and that results in written reports of findings and tracking of hazard elimination or control to completion.
 - In general industry, private and public sector, these inspections must occur no less frequently than monthly and must cover the whole worksite at least quarterly.
- (5) A reliable system for employees, without fear of reprisal, to notify appropriate management personnel in writing about conditions that appear hazardous and to receive timely and appropriate responses. The system must include tracking of responses and tracking of hazard elimination or control to completion.

- (6) An accident/incident investigation system that includes written procedures or guidance, with written reports of findings and hazard elimination or control tracking to completion. Investigations are expected to seek out root causes of the accident or incident, and to cover “near miss” incidents.
- (7) A system to analyze trends through a review of injury/illness experience and hazards identified through inspections, employee reports, accident investigations and/or other means, so that patterns with common causes can be identified and the causes eliminated or controlled.

d. Hazard Prevention and Control. Based on the results of hazard assessment, identified hazards must be eliminated or controlled by the following methods:

- (1) Reasonable worksite access to certified industrial hygienists (CIH) and certified safety professionals (CSP) as needed, based on the risks at the worksite.
- (2) Means for eliminating or controlling hazards, including:
 - (a) Engineering controls.
 - (b) Administrative controls such as job rotation to reduce the duration of exposure.
 - (c) Personal protective equipment.
 - (d) Safety and health rules, including safe and healthful work procedures for specific operations, that are:
 - Understood and followed by all affected parties.
 - Appropriate to the hazards of the worksite.
 - Equitably enforced through a clearly communicated written disciplinary system that includes procedures for disciplinary action or reorientation of managers, supervisors, and employees who break or disregard safety rules, safe work practices, proper materials handling, or emergency procedures.

- Written, implemented, and updated by management as needed and are used by employees.
 - Incorporated in training, positive reinforcement, and correction programs.
 - (3) A written system for, and ongoing documentation of, the monitoring and maintenance of workplace equipment and engineering, such as preventive and predictive maintenance, to prevent equipment from becoming hazardous.
 - (4) A system for initiating and tracking hazard elimination or control in a timely manner.
 - (5) An occupational health care program that uses occupational health professionals to analyze hazards, as appropriate, for prevention of and early recognition and treatment of illness and injury; and that provides, at a minimum, certified first aid and cardiopulmonary resuscitation (CPR) providers onsite for all shifts and physician and emergency medical care available within a reasonable time and distance, so that harm can be minimized.
 - (6) Procedures for response to emergencies. These procedures must be written and communicated to all employees, must list requirements for personal protective equipment, first aid, medical care, and emergency egress, and must include provisions for emergency telephone numbers, exit routes, and training drills including annual evacuation drills.
- e. **Safety and Health Training.** Training is necessary to reinforce and complement management's commitment to prevent exposure to hazards. All employees must understand the hazards to which they may be exposed and how to prevent harm to themselves and others from exposure to these hazards. Effective training enables employees to accept and follow established safety and health procedures. Training for safety and health must ensure that:
- (1) Managers understand their safety and health responsibilities as described under "Management Commitment and Leadership," (see Section III.A.4.) and are able to effectively carry out those responsibilities.

- (2) Supervisors understand their safety and health responsibilities and carry them out effectively.
- (3) Employees are made aware of hazards, taught how to recognize hazardous conditions, and learn the safe work procedures to follow in order to protect themselves from hazards, through training provided at the same time they are taught to do a job and through reinforcement.
- (4) Supervisors, employees (including contractor employees), and visitors on the worksite understand what to do in emergency situations.
- (5) Where personal protective equipment is required, employees understand that it is required, why it is required, its limitations, and how to properly use and maintain it.

IV. The Rising Star Program

The Rising Star Program is a stepping stone program aimed at employers in the general industry, private sector who do not yet meet the qualifications for the Carolina Star Program, but who have implemented a safety and health program and who want to work toward Carolina Star Program participation. If OSHNC determines that an employer has demonstrated the commitment and possesses the resources to achieve Carolina Star requirements within three years, then the Rising Star Program is used to set STAR goals that, when achieved, will help the worksite qualify for Carolina Star Program participation.

Note: The Rising Star Program is not designed for the public sector or construction industry.

A. Qualifications for the Rising Star Program

1. Injury and Illness Rates/Safety and Health Program Assessment

The general industry, private sector applicant at the time of approval must meet the following criteria: The most recent three-year average for both the total recordable case (TRC) rates and cases with days away from work, job transfer, or restriction (DART) rates must be below the most recent published Federal BLS rate for the appropriate North American Industrial Classification System (NAICS) preferably using a 6-digit NAICS rate, or highest digit available. Applicants with less than three years' experience shall be considered based on total experience provided that such experience shall not be less than twelve months. *Also include rates and hours worked for any temporary employees, as well as rates and hours worked for any contractors who have worked 500 or more hours in any*

calendar quarter at that worksite. An **Injury and Illness Rate Calculation Worksheet** is included in Appendix I of this document.

In addition to the NAICS industry rates, the applicant must also score itself on the **Self-Assessment Checklist** (included in the “North Carolina Department of Labor STAR Application,” Appendix II). This worksheet may be used to assess the progress of the worksite’s safety and health foundation. The assessment worksheet needs to be *completed and signed by a safety and/or health committee, team, unit, task group, etc.*

For qualifying worksites, an alternative method for calculating hypothetical incidence rates may be used. To determine whether the employer qualifies for the Alternative Calculation Method, do the following:

- a. Using the most recent employment statistics (i.e., hours worked in the most recent calendar year) and the calculation criteria listed in Appendix I, calculate a hypothetical rate for the employer assuming that the employer had two cases during the year.
- b. Compare that hypothetical rate to the most recent published Federal BLS rate for that NAICS industry.
- c. If the hypothetical rate (based on two cases) gives the worksite a rate higher than the Federal BLS average for its industry, then the Alternative Calculation Method can be used. If the hypothetical rate is lower than the Federal BLS rate, then the Alternative Calculation Method cannot be used.
- d. If the employer qualifies for the Alternative Calculation Method, the best three of the last four calendar years shall be used to calculate the three-year rate for the employer.

Note: If no 6-digit Federal BLS NAICS industry rates are available, utilize the next highest digit NAICS industry rates published by BLS.

2. Term of Participation

Worksites will be approved for or admitted to the Rising Star Program for a period of one, two, or three years depending on their goals and annual safety and health program evaluation. OSHNC will set goals to bring Rising Star sites up to Carolina Star level. Worksite deficiencies related to compliance with OSHNC rules will be listed as 90-day items and not included in longer-term Rising Star goals. **How a worksite is working toward, or if it has achieved, its Rising Star goals must be discussed in**

the worksite’s annual evaluation of its safety and health program (see “Assurances” Section VIII.G.). The term of participation will depend upon how long it is expected to take the applicant to accomplish the goals for Carolina Star participation. The worksite is encouraged to grow and rise toward becoming a Carolina Star worksite within three years; however, the worksite may remain past three years if its rates and annual program evaluation supports improvement. This will be determined by the Recognition Program Manager on a case-by-case basis.

3. Program Elements

All critical elements of a basic safety and health management program must be part of the written program. These critical elements are management commitment and leadership, employee involvement and participation, worksite hazard analysis, hazard prevention and control, plus safety and health training. All aspects of the safety and health program must be appropriate to the size of the worksite and the type of industry. Some formal requirements, such as written procedures or documentation, may be waived for small businesses where the effectiveness of the systems has been evaluated and verified. Waivers will be decided on a case-by-case basis. All safety and health program elements needed for Rising Star Program success should be in effect for twelve months before Rising Star approval.

4. Safety and Health Program Qualifications

a. Safety and Health Program Requirements. An eligible applicant to the Rising Star Program must have a written safety and health program that covers the essential elements described in “Safety and Health Program Qualifications” for the Carolina Star Program (see Section III.A.4.).

- (1) The basic elements (management commitment and leadership, employee involvement and participation, worksite hazard analysis, hazard prevention and control, and safety and health training) must all be operational and in place and ready for implementation by the date of approval.
- (2) The eligible applicant may not have met each of the specific Carolina Star Program requirements comprising each basic element. Participation in Rising Star is an opportunity for employers and their employees to work with OSHNC to improve the quality of their safety and health management programs and, if necessary, reduce

their injury and illness rates to meet the requirements for Carolina Star.

5. Multi-Worksite Eligibility

OSHNC expects that companies having many sites applying to the STAR Programs will be able to learn from the experience of their first few approved sites and, therefore, will be able to bring their remaining sites to STAR quality before submitting their applications. If the Recognition Program Manager determines that any such company has the resources to develop STAR-quality worksites, the Recognition Program Manager, at his discretion, may limit the number of Rising Star sites approved in the STAR Programs from that company. In situations where this limit has been imposed and reached, and where a STAR team determines that an additional worksite is not at STAR quality, the team shall give the worksite a documented list of goals to be met and a minimum time frame of at least one year before a team will return to the worksite for further review.

V. *The Building Star Program*

The Building Star Program is designed to recognize and award companies in the building and construction industry. This program provides an opportunity for the construction industry to promote and assist in creating more construction work places that are free of accidents and illnesses.

Note: The Building Star Program is created solely for the construction industry, with control over the total worksite safety and health in mind.

A. Qualifications for the General Contractors and Specialty Trade Contractors

[Note: Additional requirements for Specialty Trade Contractors are found below, in Section V.B.]

1. Injury and Illness Rates / Safety and Health Program Assessment

The contractor applicant, at the time of approval, must meet the following criteria: *All injuries and illness rates for each worksite in North Carolina must be summarized on the OSHA 300 log each year, for the past three years.* The most recent three-year average for both the total recordable case (TRC) rates and cases with days away from work, job transfer, or restriction (DART) rates must be at or below 50 percent of the most recent published Federal BLS rate for the appropriate North American Industrial Classification System (NAICS) preferably using a 6-digit NAICS rate, or highest digit available. Applicants with less than three years' experience shall be considered based on total experience provided that such

experience shall not be less than twelve months in the state of North Carolina. An **Injury and Illness Rate Calculation Worksheet** is included in Appendix I of this document.

In addition to the NAICS industry rates, the applicant must also score itself on the **Self-Assessment Checklist** (included in the “North Carolina Department of Labor STAR Application,” Appendix II). This worksheet may be used to assess the progress of the worksite’s safety and health foundation. The assessment worksheet needs to be *completed and signed by a safety and/or health committee, team, unit, task group, etc.*

For qualifying worksites, an alternative method for calculating hypothetical incidence rates may be used. To determine whether the employer qualifies for the Alternative Calculation Method, do the following:

- a. Using the most recent employment statistics (i.e., hours worked in the most recent calendar year) and the calculation criteria listed in Appendix I, calculate a hypothetical rate for the employer assuming that the employer had two cases during the year.
- b. Compare that hypothetical rate to the most recent published Federal BLS rate for that NAICS industry.
- c. If the hypothetical rate (based on two cases) gives the worksite a rate higher than the Federal BLS average for its industry, then the Alternative Calculation Method can be used. If the hypothetical rate is lower than the Federal BLS rate, then the Alternative Calculation Method cannot be used.
- d. If the employer qualifies for the Alternative Calculation Method, the best three of the last four calendar years shall be used to calculate the three-year rate for the employer.

Note: If no 6-digit Federal BLS NAICS industry rates are available, utilize the next highest digit NAICS industry rates published by BLS.

2. Term of Participation

The term for participation in an approved Building Star Program is open-ended so long as the participating company:

- a. Continues to maintain its excellent safety and health program as evidenced by favorable evaluation onsite by the review team every 36 months.

- b. Submits the annual information required, e.g., annual rates data and program evaluation (see “Assurances” Section VIII.G.).
- c. **General Contractors Only:** Once the company is approved as a Building Star company, it can submit up to three worksite projects during the calendar year. *Only those sites will be removed from the programmed inspection list.*
- d. **General Contractors Only:** The Building Star Company must affirm that the company’s worksite projects are indeed following and adhering to the company’s safety and health management programs. *This is accomplished by a OSHNC review team that may visit any or all of the sites that have been submitted at any time unannounced and make the determination if the sites are indeed following and adhering to the company’s policy.* If the OSHNC review team does not feel that this is being done, they have the right to immediately ask the company to withdraw that worksite or both that worksite and the company from Building Star status.
- e. **General Contractors Only:** The participating Building Star Company must inform the Recognition Program Manager or STAR Consultant immediately when a Building Star worksite project is completed.

3. Program Elements

Written Safety and Health Program. All critical elements of a basic safety and health management program must be part of the written program. These critical elements are management commitment and leadership, employee involvement and participation, worksite hazard analysis, hazard prevention and control, plus safety and health training. All aspects of the safety and health program must be appropriate to the size of the worksite and the type of industry. All safety and health program elements needed for Building Star Program qualification must be in effect for a period of not less than twelve months before Building Star Program approval.

- 4. **Safety and Health Program Qualifications.** *Building Star Program applicants must have a worksite safety and health program that, at a minimum, addresses the basic elements (management commitment and leadership, employee involvement and participation, worksite hazard analysis, hazard prevention and control, and safety and health training) described for the Carolina Star Program in Safety and Health Program Qualifications above (see Section III.A.).* How the applicant implements those elements may be unique to the construction industry so long as STAR-quality protection is afforded to all employees, contractors and subcontractors. The applicant is expected to meet all specific Carolina

Star Program elements. Applicants must demonstrate how they assure excellent safety and health protection for:

- a. Their own employees working in areas of the worksite outside the applicant's control, and
- b. Employees not under the control of the applicant who may be assigned to work in the applicant's areas of control or responsibility
- c. If the main office/headquarters is located in North Carolina, an onsite review will be conducted at that location upon acceptance of the application. During the main onsite review, the OSHNC review team will also audit one or more worksites, at their discretion.

5. Training

- a. General. All employees must receive the appropriate job specific training. All training must be documented, maintained, and accessible for review. Failure to provide and document the minimum training requirements may disqualify an applicant or result in the termination of a current Building Star participant's STAR Program status. All affected employees must receive their minimum training requirements within 90 days of being assigned a task or responsibility which may expose them to potential construction-related safety and health hazards at the worksite
- b. Minimum Training:
 - (1) Fall Protection, Ladder Safety, Personal Protective Equipment (PPE), Hazard Communications, Electrical, Scaffolding, Fire Prevention, Safety and Health, Vehicles, CPR/First Aid, Accident/Incident Investigation, Drug Abuse.
 - (2) OSHA 30-Hour training is required for all superintendents, project managers, and other upper management personnel above foreman level.
 - (3) OSHA 10-Hour training is required for all foremen and crew leaders.
 - (4) Recertification for OSHA 30-Hour and OSHA 10-Hour training is required every 36 months.

- (5) Refresher trade-specific training must be conducted annually or more often, as deemed necessary by the Building /Subcontractor Star participant.
- (6) Process Reviews:
 - (a) Pre-site Safety Inspection Plan, Tool Box Talks, Emergency Procedures, Safety Audits Safety Awareness Analysis.

B. Additional Requirements for Specialty Trade Contractors (Subcontractors)

Note: The following policies and procedures were created solely for the construction industry, with the intention to encourage participation of specialty trade contractors working in the capacity of subcontractors.

- 1. If the applicant performs jobs for a Building Star Company, a “General Contractor Provision” must be provided, that is, a written statement in which the Building Star Company:
 - a. Supports the subcontractor’s participation in the Building Star Program.
 - b. Agrees to allow the STAR Program to perform onsite evaluations of the general contractor’s worksite as well as other areas where the subcontractor’s employees are required to work on the worksite.
 - c. Agrees to allow the STAR Program to review the worksite’s overall safety and health program and related activities.
 - d. Agrees to correct any conditions deemed a violation of an OSHNC rule, either immediately or within an agreed upon timeframe. Only if correction does not occur will the STAR Program make a referral the OSHNC Compliance Bureau.
- 2. Applicant must provide a list of current General Contractors with whom they normally contract.

VI. The Public Sector Star Program

The Public Sector Star Program is designed to recognize and award state agencies and local governments for their leadership in occupational safety and health. The participants in this program are successful in protecting employees from death, injury, and illness by implementing comprehensive and effective safety and health management programs. Public Sector Star participants willingly share their experience and expertise, and they

encourage other public sector entities to work toward comparable success. These worksites are self-sufficient in their ability to control hazards at their worksites.

Note: The Public Sector Star Program is created solely for the participation of state agencies and local governments. Participation will vary depending upon total recordable case (TRC) rates, days away from work, restrictions and job transfer case (DART) rates, number of employees, and how each prospective applicant is separated into establishments, departments, and/or divisions.

A. Qualifications for the Public Sector Star Program

1. Requirements for state agencies and local governments are identical to those of the Carolina Star Program, generally, with the following additions:

- a. In addition to complying with 29 CFR 1910, state agencies and local governments must also be in full compliance with NCGS 95-148 (Safety & Health Programs of state agencies and local governments) and 29 CFR 1926, if applicable.
- b. State and local governments employing less than 350 employees will be encouraged to apply as an entire agency.
- c. State and local governments employing 350 or more employees may be considered by establishment/department/division. If the application covers a specific establishment/department/division, it must have ten or more employees. Public sector entities employing 350 or more employees, may submit up to four separate applications for participation in the Public Sector Star Program. *Only those establishments/departments/divisions will be removed from the compliance programmed inspection list.* Priority will be given to those applicants considered to have high hazard processes.
- d. State agencies and local governments must notify their managing officials of their intent to apply to the Public Sector Star Program, and they must submit a letter, from management, supporting the organizations participation in the program. This letter must be submitted with their application. The purpose of this letter is to demonstrate top-level management (i.e. Town Managers, Mayors, County Commissioners, State Department Commissioners, etc.) leadership and commitment to their agency's safety and health program.
- e. All participants must initially score a minimum of sixty-five percent (65%) of the points available on the safety and health program assessment worksheet, and show progress thereafter. This

assessment will include an onsite evaluation of the following five topic areas: management commitment and leadership, employee involvement and participation, worksite hazard analysis, hazard prevention and control, and safety and health training.

- f. For state and local governments employing less than 350 employees, worksites must provide the STAR Program onsite evaluation team copies of their OSHA 300 logs for the most recent three calendar years. The injury and illness data must be compiled among all establishments/departments/divisions, and submitted for review. This will become baseline data from which to show improvement.
- g. For state and local governments employing 350 or more employees, worksites must provide the STAR Program onsite evaluation team copies of their OSHA 300 logs for the most recent three calendar years by establishments/departments/divisions.

2. Mobile Workforce

Program criteria for mobile workforces apply to public sector entities with 350 or more employees. The guidelines for mobile workforces are designed for establishments/departments/divisions whose employees are regularly exposed to changing work environments. Examples of eligible establishments/departments/divisions include but are not limited to the following: Garbage collection, roadwork, recreation centers, police and fire departments. Public sector entities with mobile workforces may submit up to four applications per establishment/department/division. All elements of an applicant's safety and health management program must meet the requirements of the Public Sector Star Program.

3. Injury and Illness Rates/Safety and Health Program Assessment

All applicants will submit the most current complete three years' of OSHA 300 logs and total number of employee hours worked with their application. The OSHNC Recognition Program will establish a baseline as it pertains to both total recordable case rates (TRC) and the Days Away from Work, Restriction, or Job Transferred (DART) rates that includes illnesses. The baseline will be based upon most recent three-year average for both TRC and DART rates. During the evaluation process, all injury and illness data will be evaluated for accuracy. Once a baseline is established, all applicants will be expected to maintain their TRC and DART rates below the established baseline, and demonstrate continuous improvement thereafter. After three years, each participant's injury and illness data will be re-evaluated, and compared to the baseline to determine improvement in the TRC and DART rates. Applicants with less

than three years' experience shall be considered based on total experience provided that such experience shall not be less than twelve months. *Also include rates and hours worked for any temporary employees, as well as rates and hours worked for any contractors who have worked 500 or more hours in any calendar quarter at that worksite.* An **Injury and Illness Rate Calculation Worksheet** is included in Appendix I of this document.

In addition to the NAICS industry rates, the applicant must also score itself on the **Self-Assessment Checklist** (included in the "North Carolina Department of Labor STAR Application," Appendix II). This worksheet may be used to assess the progress of the worksite's safety and health foundation. The assessment worksheet needs to be *completed and signed by a safety and/or health committee, team, unit, task group, etc.*

4. Term of Participation

The term for participation in an approved Public Sector Star Program is open-ended so long as the participating worksite continues to maintain its excellent safety and health program as evidenced by favorable evaluation onsite by the review team every thirty-six months, and submits the annual information required, e.g., annual rates data and program evaluation (see "Assurances" Section VIII.G.).

5. Program Elements

All critical elements of a basic safety and health management program must be part of the written program. These critical elements are management commitment and leadership, employee involvement and participation, worksite hazard analysis, hazard prevention and control, plus safety and health training. All aspects of the safety and health program must be appropriate to the size of the worksite and the type of process. All safety and health program elements needed for Public Sector Star Program success must be in effect for a period of not less than twelve months before Public Sector Star approval.

6. Safety and Health Program Qualifications

a. Management Commitment and Leadership. Each applicant must be able to demonstrate top-level management leadership in the worksite's safety and health program. Management systems for comprehensive planning must address protection of employee safety and health.

- (1) **Commitment to Safety and Health Protection.** Authority and responsibility for employee safety and health must be integrated with the overall management system of the

organization and must involve employees. This commitment includes:

- (a) Policy. Clearly established policies for employee safety and health protection that have been communicated to and understood by employees.
 - (b) Goal and Objectives. Established and communicated goal(s) for the safety and health program and results-oriented objectives for meeting that goal, so that all members of the organization understand the results desired and the measures planned for achieving them, especially those factors that are applicable directly to them.
- (2) Commitment to Public Sector Star participation. Management must also clearly demonstrate commitment to meeting and maintaining the requirements of the Public Sector Star Program.
- (3) Planning. Planning for safety and health must be a part of the overall management planning process.
- (4) Management Leadership. Managers must provide visible leadership in implementing the program. This must include:
- (a) Establishing clear lines of communication with employees.
 - (b) Setting an example of safe and healthful behavior.
 - (c) Creating an environment that allows for reasonable employee access to top worksite management.
 - (d) Ensuring that all employees at the worksite, including contract employees, are provided equally high quality safety and health protection.
 - (e) Clearly defining responsibility in writing, with no unassigned areas. Each employee, at any level, must be able to describe his or her responsibility for safety and health.
 - (f) Assigning commensurate authority to those who have responsibility.

- (g) Affording adequate resources to those who have responsibility and authority. This includes such resources as time, training, personnel, equipment, budget, and access to expert information.
- (h) Holding managers, supervisors, and employees accountable for meeting their responsibilities, so that essential tasks will be performed. In addition to clearly defining and implementing authority and responsibility for safety and health protection, management leadership entails evaluating managers and supervisors annually, and operating a documented system for reinforcing good and correcting deficient performance.

b. Employee Involvement and Participation

- (1) Employee Involvement. Employees must be meaningfully involved in the safety and health program. The worksite culture must enable and encourage employee involvement in the planning and operation of the safety and health program and in decisions that affect employees' safety and health. The requirement for employee participation may be met in a variety of ways to participate in safety and health problem identification and resolution. This involvement must be in addition to the individual right to notify appropriate managers of hazardous conditions and practices and to have issues addressed. Examples of acceptable employee involvement include, but are not limited to, the following:
 - (a) Ad hoc safety and health problem-solving groups.
 - (b) Participating in audits and/or worksite inspections.
 - (c) Participating in accident and incident investigations.
 - (d) Employee improvement suggestion programs.
 - (e) Safety and health training of other employees.
 - (f) Analysis of job/process hazards.
 - (g) Safety observers.

- (h) Committees/teams that plan and conduct safety and health awareness programs.
 - (i) Legally constituted safety and health committees (established through the bargaining process at organized sites and in conformance to National Labor Relations Act requirements at nonunion worksites).
- (2) Joint Labor-Management Safety and Health Committees. If a joint labor-management safety and health committee is operating, the applicant must demonstrate that the committee has the following characteristics or justified alternatives:
- (a) Has a minimum of one year's experience providing safety and health advice and making periodic worksite inspections.
 - (b) Has at least equal representation by bona fide employee representatives who work at the worksite and who are selected, elected, or approved by a duly authorized collective bargaining organization, if one exists.
 - (c) Mandatory, no exception - meets regularly, keeps minutes of the meetings, and follows quorum requirements of at least half of the members of the committee, including representatives of both employees and management.
 - (d) Conducts monthly inspections of the entire worksite, or more frequently as needed. [Note: Must have at least equal employee representation when conducting the inspections].
 - (e) Observes or assists in the investigation and documentation of major accidents.
 - (f) Has access to all relevant safety and health information.
 - (g) Has adequate training to recognize hazards and to perform other assigned safety and health duties.

- (3) Contract Employee Coverage. All onsite contractor, subcontractor, temporary, or other specialized industry employees are required to follow worksite safety and health rules and procedures applicable to their activities while at the worksite.
- (a) Essentially, participants are expected to require of their contractor(s) what OSHNC requires of them-- an effective safety and health program management system in place.
 - (b) Participants must demonstrate that they have considered the safety and health management programs and/or performance history of all contractors during the evaluation and selection of these contractors.
 - (c) Participants must document that all contractors and subcontractors operating routinely at the worksite maintain effective safety and health management programs and comply with applicable safety and health rules and regulations. This documentation must describe:
 - The authority for the oversight, coordination, and enforcement of those programs by the applicant, and there must be documentary evidence of the exercise of this authority at the worksite.
 - The means for prompt elimination or control of hazards, however detected, by the applicant in the event that contractors or individuals fail to correct or control such hazards.
 - The penalties, including contractor correction and/or dismissal from the worksite, for willful or repeated noncompliance by contractors, subcontractors, or individuals.
- (4) Safety and Health Program Evaluation. The applicant must have a system for evaluating the operation of the safety and health program annually to judge success in meeting the program's goal and objectives, so that those responsible can determine and implement changes needed to improve employee safety and health protection.

- (a) The system must provide for an annual written narrative report with recommendations for timely improvements, assignment of responsibility for those improvements, and documentation of timely follow-up action or the reason no action was taken.
- (b) The evaluation must assess the effectiveness of all elements described in (Safety and Health Program Qualifications” (see Section III.A.4.) and any other elements of the worksite’s safety and health program, including outreach efforts such as mentoring other worksites, making presentations at meetings and conferences, input into OSHNC’s rules setting, and helping OSHNC to carry out its mission.

c. Worksite Hazard Analysis. Management of safety and health programs must begin with a thorough understanding of all hazardous situations to which employees may be exposed and the ability to recognize and correct all existing hazards as they arise. This requires:

- (1) Comprehensive safety and health surveys at intervals appropriate for the nature of workplace operations which include:
 - (a) A baseline health hazard exposure assessment with strategies for initial and subsequent industrial hygiene monitoring, accomplished through initial comprehensive industrial hygiene surveying.
 - (b) A baseline survey of safety hazards accomplished through an initial comprehensive worksite survey and subsequent survey as needed.
 - (c) The use of nationally recognized procedures for all sampling, testing, and analysis with written records of results.
- (2) Process to ensure analysis of all newly acquired or altered facilities, processes, materials, equipment, and/or phases before use begins, to identify hazards and the means for their prevention or control.

- (3) Routine examination and analysis of safety and health hazards associated with individual jobs, processes, or phases and inclusion of the results in training and hazard control programs. This includes job hazard analysis and process hazard review.
- (4) A system for conducting, as appropriate, routine self-inspections that follows written procedures or guidance and that results in written reports of findings and tracking of hazard elimination or control to completion.
 - In general industry, private and public sector, these inspections must occur no less frequently than monthly and must cover the whole worksite at least quarterly.
- (5) A reliable system for employees, without fear of reprisal, to notify appropriate management personnel in writing about conditions that appear hazardous and to receive timely and appropriate responses. The system must include tracking of responses and tracking of hazard elimination or control to completion.
- (6) An accident/incident investigation system that includes written procedures or guidance, with written reports of findings and hazard elimination or control tracking to completion. Investigations are expected to seek out root causes of the accident or incident, and to cover “near miss” incidents.
- (7) A system to analyze trends through a review of injury/illness experience and hazards identified through inspections, employee reports, accident investigations and/or other means, so that patterns with common causes can be identified and the causes eliminated or controlled.

d. Hazard Prevention and Control. Based on the results of hazard assessment, identified hazards must be eliminated or controlled by the following methods:

- (1) Reasonable worksite access to certified industrial hygienists (CIH) and certified safety professionals (CSP) as needed, based on the risks at the worksite.
- (2) Means for eliminating or controlling hazards, including:
 - (a) Engineering controls.

- (b) Administrative controls such as job rotation to reduce the duration of exposure.
- (c) Personal protective equipment.
- (d) Safety and health rules, including safe and healthful work procedures for specific operations, that are:
 - Understood and followed by all affected parties.
 - Appropriate to the hazards of the worksite.
 - Equitably enforced through a clearly communicated written disciplinary system that includes procedures for disciplinary action or reorientation of managers, supervisors, and employees who break or disregard safety rules, safe work practices, proper materials handling, or emergency procedures.
 - Written, implemented, and updated by management as needed and are used by employees.
 - Incorporated in training, positive reinforcement, and correction programs.
- (3) A written system for, and ongoing documentation of, the monitoring and maintenance of workplace equipment and engineering, such as preventive and predictive maintenance, to prevent equipment from becoming hazardous.
- (4) A system for initiating and tracking hazard elimination or control in a timely manner.
- (5) An occupational health care program that uses occupational health professionals to analyze hazards, as appropriate, for prevention of and early recognition and treatment of illness and injury; and that provides, at a minimum, certified first aid and cardiopulmonary resuscitation (CPR) providers onsite for all shifts and physician and emergency medical care available within a reasonable time and distance, so that harm can be minimized.

- (6) Procedures for response to emergencies. These procedures must be written and communicated to all employees, must list requirements for personal protective equipment, first aid, medical care, and emergency egress, and must include provisions for emergency telephone numbers, exit routes, and training drills including annual evacuation drills.
- e. **Safety and Health Training.** Training is necessary to reinforce and complement management's commitment to prevent exposure to hazards. All employees must understand the hazards to which they may be exposed and how to prevent harm to themselves and others from exposure to these hazards. Effective training enables employees to accept and follow established safety and health procedures. Training for safety and health must ensure that:
- (1) Managers understand their safety and health responsibilities as described under "Management Commitment and Leadership," (see Section VI.A.6.a.) and are able to effectively carry out those responsibilities.
 - (2) Supervisors understand their safety and health responsibilities and carry them out effectively.
 - (3) Employees are made aware of hazards, taught how to recognize hazardous conditions, and learn the safe work procedures to follow in order to protect themselves from hazards, through training provided at the same time they are taught to do a job and through reinforcement.
 - (4) Supervisors, employees (including temporary and contractor employees), and visitors on the worksite understand what to do in emergency situations.
 - (5) Where personal protective equipment is required, employees understand that it is required, why it is required, its limitations, and how to properly use and maintain it.

VII. Eligibility

- A. The **Carolina Star** and the **Rising Star Programs** accept applications from *general industry, private sector, onsite contractors, temporary agencies, etc., if they receive support from the worksite's owner and they have been working onsite for at least twelve months.* The **Building Star Program** accepts applications from *the construction industry and subcontractors at approved sites in the construction industry, if they receive support from the worksite's owner and they meet the Building Star criteria.* The **Public Sector Star Program** accepts

applications from *state agencies and local governments, if they receive a letter from management (i.e. Town Managers, Mayors, County Commissioners, State Departments Commissioners, etc.) supporting the organizations participation in the program.* The applicants from all four STAR Programs must have implemented a safety and health management program, and it must reflect the support of worksite employees and, where applicable, their union representatives.

- B. Unionized Sites. At sites with employees organized into one or more collective bargaining units, the authorized representative for each collective bargaining unit must either sign the application or submit a signed statement indicating that the collective bargaining agent(s) support STAR Programs participation. Without such concurrence from all such authorized agents, OSHNC will not accept the application, unless the entire worksite is not unionized and the minority is under a collective bargaining agreement.
- C. OSHNC History. If an applicant has been inspected by OSHNC within the thirty-six months preceding application, the inspection, abatement, and/or any other history of interaction with OSHNC must indicate good faith attempts to improve safety and health. An applicant's history must include no open investigations and no pending or contested citations at the time of application, and no affirmed willful violations during those prior thirty-six months.

VIII. Assurances

Applications for the Carolina Star, Building Star, Rising Star, and Public Sector Star Programs must be accompanied by certain assurances describing what the applicant agrees to do if the application is approved. The applicant must assure that:

- A. The STAR Program elements are in place, and the requirements of the elements will be met and maintained.
- B. Employees, including newly hired employees and temporary/contract employees when they reach the worksite, will have the STAR Programs explained to them, including employee rights under the programs and under the act.
- C. Hazards discovered through employee notification, self-inspections, pre-worksites review, an OSHNC onsite team review, accident investigations, process hazard reviews, annual evaluations, or any other means of report, investigation, or analysis will be corrected in a timely manner, with effective interim protection provided as necessary.
- D. Employees given safety and health duties as part of the applicant's safety and health program will be protected from discriminatory actions resulting from their carrying out such duties. North Carolina Labor Law Chapter 95, Article 241 protects employees who exercise their rights.

- E. Employees will have access to the results of self-inspections, accident investigations, and other safety and health program data upon request. In construction, this requirement may be met through employee representative access to these results.
- F. The information listed below will be maintained and available for OSHNC review team in order to determine initial and continued approval to the STAR Programs:
 - 1. Written safety and health program.
 - 2. All documentation enumerated under “Preapproval Onsite Review”(see Section X.D.3.) of this notice.
 - 3. Any agreements between management and the collective bargaining agent(s) concerning the functions of any joint labor-management safety and health committee and its organization and any other employee involvement in the safety and health program.
- G. Each year, by February 15, each participating worksite will send to the Recognition Program Manager:
 - 1. The worksite’s most recent OSHA Forms 300/300A, total recordable case (TRC) rates, days away from work, restrictions, job transfer case (DART) rates and hours worked (*include rates and hours worked for any temporary employees, as well as rates and hours worked for any contractors who have worked 500 or more hours in any calendar quarter at that worksite*).
 - 2. Estimated average employment for the past full calendar year.
 - 3. A copy of the most recent annual evaluation of the worksite’s safety and health program.
 - 4. A description of worksite outreach activities.
 - 5. Any success stories, e.g., reductions in workers’ compensation rates, increases in employee involvement in the program, etc.
- H. Whenever significant organizational or ownership changes occur, the worksite shall provide the Recognition Program Manager a new statement of commitment signed by both management and any authorized collective bargaining agents.
- I. Whenever a change occurs in the authorized collective bargaining agent, a new, signed statement shall be provided indicating that the new representative supports STAR participation.

IX. Application for STAR Programs

- A. Instructions. OSHNC will prepare, keep current, and make available to all interested parties application guidelines that explain the information to be submitted for OSHNC review. The guidelines are found in the “North Carolina Department of Labor STAR Application” document.
- B. Content:
1. Eligible applicants are required to provide all information described in the most current version of the relevant application instructions.
 2. Amendments to submitted applications shall be requested when the application information is insufficient to determine eligibility for onsite review.
 3. Materials needed to document the safety and health program that may involve invasion of privacy or a trade secret need not be included in the application. Instead, such materials must be described in the application and provided only for viewing at the worksite during an application assistance visit and/or during the Pre-Approval Onsite Review.
- C. Submission:
- The application shall be submitted to OSHNC, to the attention of the Recognition Program Manager. One copy will be required, but the number requested may vary depending upon circumstances particular to the program and/or the applicant.
- D. Acceptance of Application
- The Recognition Program Manager conducts an initial review of each application to determine whether it meets the STAR criteria that can be substantiated by the worksite’s written safety and health program and supporting documentation. The applicant shall be given the opportunity to improve its application by submitting amended or additional materials.
- E. Withdrawal of Application
1. Any applicant may withdraw a submitted application at any time. When the applicant notifies the Recognition Program Manager of its desire to withdraw, the original application(s) will be returned to the applicant.
 2. The Recognition Program Manager may keep the assigned marked working copy of the application for a year before discarding it, in order to respond knowledgeably should the applicant raise questions concerning

the handling of the application. Once an application has been withdrawn, a new submission of an application is required to be considered for STAR Program approval.

3. If the application is incomplete, and if after notification the applicant has not responded within ninety days to the request for more information, the application shall be considered unacceptable and will return it to the worksite. The worksite may resubmit the application when it is complete.

F. Public Access

The following documents shall be maintained by OSHNC for public access beginning on the day the worksite is approved and continuing for so long as the worksite remains in the program:

1. STAR Program application and amendments.
2. Pre-approval report and subsequent evaluation reports.
3. Transmittal memoranda to the Commissioner of Labor and documentation of approval.

X. *Pre-approval Onsite Review*

- A. Purpose. The pre-approval review, which is conducted by a team of OSHNC staff of a non-enforcement capacity, is a review of the worksite's safety and health program. It is conducted to:
 1. Verify the information supplied in the application concerning qualification for the STAR Program.
 2. Identify the strengths and weaknesses of the worksite's safety and health program.
 3. Determine the adequacy of the worksite's safety and health program to address the hazards of the worksite including compliance with all OSHNC rules.
 4. Obtain information to assist the Commissioner of Labor in making the STAR Program's approval decision.
- B. Preparation. The review shall be arranged at the mutual convenience of OSHNC and the applicant. The review team shall consist of a team leader, a backup team leader (whenever possible), a safety specialist and industrial hygienist, in addition to other specialists as required by the size of the worksite and the complexity of its operations.

- C. Duration. The time required for the pre-approval onsite review will depend upon the size of the worksite and the complexity of its operations. Pre-approval reviews usually average two to four days onsite, but may be shorter or longer based on the decision of the Recognition Program Manager.

- D. Scope. All pre-approval onsite reviews follow a three-pronged strategy that assesses a worksite's safety and health program by means of document review, worksite walkthrough, and employee interviews.
 - 1. The onsite review shall include a review of injury and illness records, recalculation and verification of the injury/illness incidence rates submitted with the application, verification that the safety and health program described in the application has been implemented effectively, a general assessment of safety and health conditions to determine if the safety and health program adequately protects employees from the hazards at the worksite, and verification of compliance with OSHNC rules and STAR Program requirements.
 - 2. The review shall include random formal and informal interviews with relevant individuals (such as members of any safety and health committees, management personnel, randomly selected non-supervisory employees, and contract employees).
 - 3. Onsite document review shall entail examination of the following records (or samples) if they exist and are relevant to the application or to the safety and health program:
 - a. Written safety and health program.
 - b. Management statement of commitment to safety and health.
 - c. The OSHA 300 log for the worksite and for all worksite contractor employees who are required to report.
 - d. Safety and health manual(s).
 - e. Safety rules, emergency procedures, and examples of safe work procedures.
 - f. The system for enforcing safety rules.
 - g. Reports from employees of safety and health problems and documentation of management's response.
 - h. Self-inspection procedures, reports, and correction tracking.

- i. Accident investigation reports and analyses.
 - j. Safety and health committee minutes.
 - k. Employee orientation, safety training programs, and attendance records.
 - l. Baseline safety and industrial hygiene exposure assessments plus updates.
 - m. Industrial hygiene monitoring records, results, exposure calculations, analyses, and summary reports.
 - n. Annual safety and health program evaluations and worksite and/or corporate audits (where worksite audits are not comprehensive) necessary to establish that STAR Program requirements are being met (trade secret concerns will be accommodated to the extent possible), including the documented follow-up activities, for at least the last three years.
 - o. Preventive maintenance program and records.
 - p. Accountability and responsibility documentation, e.g., performance standards.
 - q. Contractor safety and health program(s).
 - r. Medical programs and records.
 - s. Available resources devoted to safety and health.
 - t. Hazard and process analyses.
 - u. Process Safety Management documentation, if applicable.
 - v. Employee involvement activities.
 - w. Other records that provide relevant documentation of STAR Program qualifications.
4. The site's overall safety and health program management system will be evaluated using the STAR Team's Safety and Health Evaluation Worksheet (the "8.3") which may be found in Appendix II of this document.

XI. Recommendation for Program Approval

A. Deferred Approval

If the pre-approval review determines that the applicant needs to take steps to meet one or more program requirements or to come into compliance with OSHNC rules, the applicant will be given reasonable time--up to ninety days--before a recommendation for STAR approval is made to the Commissioner of Labor. When necessary, an onsite visit shall be made to verify the actions taken after the pre-approval onsite review visit.

B. Approval

If in the opinion of the OSHNC pre-approval onsite review team, the applicant has met the qualifications for participation in one of the STAR Programs, the team's recommendation shall be made to the Commissioner of Labor to approve participation. Approval shall occur on the day that the Commissioner of Labor signs the on-site evaluation report informing the applicant of approval.

XII. Recommendation for Program Denial

- A. If it is determined that the applicant does not meet the requirements for participation in one of the STAR Programs, reasonable time (not to exceed 30 calendar days) shall be allowed for the applicant to withdraw its application before a denial recommendation is made by the Recognition Program Manager to the Commissioner of Labor.
- B. If the Commissioner of Labor accepts the recommendation to deny approval, the denial will occur as of the date the Commissioner of Labor signs a letter informing the applicant of the decision.
- C. An applicant may appeal to the Commissioner of Labor the decision by the OSHNC pre-approval team that requirements have not been met. The Recognition Program Manager shall forward the appeal to the Commissioner of Labor, along with the team's recommendation of denial.
- D. Should the Commissioner of Labor, for any reason, reject the recommendation of approval made by the Recognition Program Manager, a letter from the Commissioner of Labor denying approval will be sent to the applicant. The denial will occur as of the date of the letter.

XIII. Inspection Requirements

A. Programmed Inspections

Participating work sites, unless they choose otherwise, shall be removed from OSHNC's programmed inspection lists, including any lists of targeted sites for the duration of approved participation in the STAR Programs. The applicant worksite shall be removed from the programmed inspection lists prior to the commencement of its scheduled pre-approval onsite review. The worksite shall remain off those lists until official denial of the application, applicant withdrawal of its application, or if the applicant is approved for one of the STAR Programs.

NOTE 1: *Rising Star Companies* will be removed from the programmed inspection list for each year of approval, not to exceed three years.

NOTE 2: *Building Star Companies* may be visited by the OSHNC review team at any time, unannounced, to make the determination that the sites are indeed following and adhering to the company's policy. If the review team does not feel that this is being done, they have the right to immediately ask the company to withdraw that worksite or to withdraw both that worksite and the company from the Building Star Program status.

B. Unprogrammed Inspections

1. Workplace complaints to OSHNC, significant chemical leaks or spills, all fatalities and catastrophes, and other significant events shall be handled by OSHNC enforcement personnel in accordance with OSHNC enforcement procedures.
2. The history of the STAR Program demonstrates that safety and health problems discovered during contact with worksites normally are resolved cooperatively. Nevertheless, the OSHNC review team must reserve the right, where employees' safety and health are seriously endangered and worksite management refuses to correct the situation, to refer the situation to the Commissioner of Labor for review and enforcement action. The employer shall be informed in advance that a referral will be made to the Commissioner of Labor and that enforcement action may result.
3. OSHNC also may choose to investigate other significant accidents or incidents that come to its attention and that are not required to be handled with normal OSHNC enforcement procedures, whether or not injury/illness is involved. The Recognition Program Manager will determine whether the accident or incident reflects a serious deficiency in the worksite's safety and health management program.

XIV. Post-Approval Contact/Assistance

A. Recognition Program Manager

The Recognition Program Manager is designated as the OSHNC contact person for each STAR worksite. The Recognition Program Manager shall be available to assist the participants, as needed, to assure interaction with OSHNC and to provide expertise.

B. Assistance

1. In some cases, such as in the Building Star Program, at construction sites, or when needed for the Carolina, Rising, or Public Sector Star Programs, an onsite assistance visit may be scheduled.
2. Whenever significant changes in ownership or organizational structure occur, or the authorized collective bargaining agent changes, OSHNC may make an onsite assistance visit if needed to determine the impact of the changes on STAR Program participation.
3. Whenever the three-year total recordable case/days away from work, job transfer, or restriction case rates of a STAR Program participant exceed the requirements of the latest Federal BLS published NAICS rate, at the discretion of the Recognition Program Manager, the participant may be required to develop an agreed-upon rate reduction plan. If appropriate, OSHNC may make an onsite assistance visit to help the worksite develop the plan.

XV. Periodic Onsite Evaluation of Approved Worksites/Ceremony

A. The Carolina Star Program

1. Purpose. Onsite evaluations of the Carolina Star participants are intended to:
 - a. Determine continued qualification for the Carolina Star Program.
 - b. Document results of program participation in terms of the evaluation criteria and other noteworthy aspects of the worksite's safety and health program.
 - c. Identify any problems that have the potential to adversely affect continued Carolina Star Program qualification and determine appropriate follow-up actions.

2. Frequency. The first post-approval evaluation shall be within thirty-six months of the initial Carolina Star Program approval. At the discretion of the Recognition Program Manager, subsequent re-certification evaluations shall be conducted on a five-year cycle, i.e., a five-year re-certification evaluation will be conducted, including a three-year interim visit conducted by the team leader prior to the five-year re-certification visit. *[Note: The identification of potentially serious problems may create the need for earlier evaluation.]*

For example:

- a. Company ABC is initially approved on February 18, 2009.
 - b. Around February 2012, Company ABC is re-approved to participate as a Carolina Star worksite (Initial Re-certification /Team Evaluation conducted).
 - c. Provided there are no significant changes or events within the next three years (case-by-case), the team leader will return to conduct a three-year interim visit around February 2015, which should not exceed a one-day visit. If the three-year interim visit proceeds satisfactorily, Company ABC's Carolina Star status will be extended an additional two years, to February 2017.
 - d. Around February 2017, the full re-evaluation/re-certification/re-approval process will be conducted at Company ABC.
 - e. Subsequently, the interim visit (after three years) and full re-evaluation/re-certification/re-approval process (after five years) will recur.
3. Scope. OSHNC's evaluation of Carolina Star Program participants shall consist mainly of an onsite visit similar in duration and scope to the pre-approval program review described in "Preapproval Onsite Review" (see Section X). OSHNC shall review the documentation of program implementation since pre-approval review or since the previous evaluation. The evaluation shall include a review of the total recordable case/days away from work, job transfer, or restriction case rates for the worksite and for its applicable temporary and contractor employees. The rates reported shall be for the three most recent complete calendar years.
 4. Measures of Effectiveness. OSHNC shall use the following factors in the evaluation of Carolina Star Program participants:
 - a. Continued compliance with the program requirements and continuous improvement in the safety and health program.
 - b. Satisfaction and continued commitment of employees and management.

- c. Nature and validity of any complaints received by OSHNC.
 - d. Nature and resolution of problems that may have come to OSHNC's attention since approval or the last evaluation.
 - e. The effectiveness of employee participation programs.
5. Evaluation Decisions. The Recognition Program Manager may make one of the following decisions following a Carolina Star Program evaluation visit:
- a. Continued participation in the Carolina Star Program.
 - b. A one-year conditional participation ("Provisional Status") in the Carolina Star Program. The STAR onsite review team may recommend this alternative if it finds that the worksite has allowed one or more program elements to slip below Carolina Star quality. A STAR Program representative(s) shall return within six months to one year to determine if the worksite's safety and health program has returned to Carolina Star quality. If Carolina Star quality has been restored, the STAR Program representative(s) shall recommend the worksite be re-approved as a Carolina Star Program worksite.
 - c. Termination. The STAR Program onsite review team shall recommend termination if it finds the worksite has significantly failed to maintain its safety and health management program at Carolina Star Program quality.
6. Carolina Star Program Ceremony. Once the Commissioner of Labor signs the Carolina Star Program recommendation for approval report:
- a. A Carolina Star Program celebration ceremony is usually hosted and held at the Carolina Star Program worksite.
 - b. At the initial ceremony, the Carolina Star Program worksite receives a STAR flag and certificate as an earned symbol of excellence and well-deserved recognition.

B. The Rising Star Program

- 1. Purpose of Evaluation. Onsite Rising Star evaluations are intended to:

- a. Determine continued qualification for the Rising Star Program, or determine whether the applicant may be approved for the Carolina Star Program.
 - b. Determine whether adequate progress has been made toward the agreed-upon Rising Star goals.
 - c. Identify any problems in the safety and health program or its implementation that need resolution in order to continue qualification or meet agreed-upon goals.
 - d. Document program improvements and/or improved results.
 - e. Provide advice and suggestions for needed improvements.
2. Frequency. Rising Star Program participants shall be evaluated according to an agreed-upon schedule for the duration of the approval period, except where the participant requests an earlier evaluation for the purpose of determining whether the Carolina Star Program qualifications have been met. The first evaluation shall be conducted within twenty-four months of approval.
 3. Scope. OSHNC's evaluation of the Rising Star Program participants shall consist mainly of an onsite visit similar in duration and scope to the pre-approval program review described in the Carolina Star Program "Preapproval Onsite Review" (see Section X). OSHNC shall review the documentation of program implementation since the pre-approval review or the previous evaluation. The evaluation shall include a review of total recordable case/days away from work, job transfer, or restriction case rates for the worksite and for its applicable temporary and contractor employees. The rates reported shall be for the three most recent complete calendar years.
 4. Measures of Effectiveness. The following factors shall be measured in the evaluation of Rising Star Programs:
 - a. Continued adequacy of the safety and health program to address the potential hazards of the workplace.
 - b. Comparison of employer rates to the industry average.
 - c. Improvement on the Safety and Health Program Assessment Worksheet.
 - d. Satisfaction and continued commitment of employees and management.

- e. Nature and validity of any complaints received by OSHNC.
 - f. Resolution of problems that have come to OSHNC's attention.
 - g. Effectiveness of the employee participation program.
 - h. Progress made toward goals specified in the pre-approval or previous evaluation report.
5. Evaluation Decision or Recommendations. The Recognition Program Manager may make one of the following decisions/recommendations following a Rising Star Program evaluation visit:
- a. Decision for continued Rising Star Program participation.
 - b. Recommendation for advancement to the Carolina Star Program.
 - d. A one-year conditional participation ("Provisional Status") in the Rising Star Program. The STAR Program onsite review team shall recommend termination if it finds the worksite has significantly failed to demonstrate progress toward meeting Carolina Star Program criteria.
 - e. Termination. The STAR Program onsite review team shall recommend termination if it finds the worksite has significantly failed to demonstrate progress toward meeting Carolina Star Program criteria.
6. Rising Star Program Ceremony. Once the Commissioner of Labor signs the Rising Star Program recommendation for approval report:
- a. A Rising Star Program celebration ceremony is usually hosted and held at the Rising Star Program worksite.
 - b. The Rising Star Program worksite receives a plaque as an earned symbol for its commitment to creating and maintaining a safe and healthy workplace.

C. *The Building Star Program*

- 1. Purpose of Evaluation. Onsite Building Star Program evaluations are intended to:
 - a. Determine continued qualification for the Building Star Program.

- b. Document results of program participation in terms of the evaluation criteria and other noteworthy aspects of the worksite's safety and health program.
 - c. Ensure that the demonstration aspects of the program continue to be effective and to protect employees.
 - d. Identify any problems that have the potential to adversely affect continued Building Star Program qualification and determine appropriate follow-up actions.
2. Frequency. The first post-approval evaluation shall be within thirty-six months of the initial Building Star Program approval. At the discretion of the Recognition Program Manager, subsequent re-certification evaluations shall be conducted on a five-year cycle, i.e., a five-year re-certification evaluation will be conducted, including a three-year interim visit conducted by the team leader prior to the five-year re-certification visit. *[Note: The identification of potentially serious problems may create the need for earlier evaluation.]*

For example:

- a. Company ABC is initially approved on February 18, 2009.
 - b. Around February 2012, Company ABC is re-approved to participate as a Carolina Star worksite (Initial Re-certification /Team Evaluation conducted).
 - c. Provided there are no significant changes or events within the next three years (case-by-case), the team leader will return to conduct a three-year interim visit around February 2015, which should not exceed a one-day visit. If the three-year interim visit proceeds satisfactorily, Company ABC's Carolina Star status will be extended an additional two years, to February 2017.
 - d. Around February 2017, the full re-evaluation/re-certification/re-approval process will be conducted at Company ABC.
 - e. Subsequently, the interim visit (after three years) and full re-evaluation/re-certification/re-approval process (after five years) will recur.
3. Scope. Identical to Carolina Star Program evaluations; see "Preapproval Onsite Review" above (see Section X.).
4. Measures of Effectiveness. The Building Star Program evaluation shall assess the effectiveness using the same factors and the effectiveness of the Carolina Star Program participants (see Section XV.A.4.).

5. Evaluation Decisions. The Recognition Program Manager may make one of the following recommendations to the Commissioner of Labor following a Building Star Program evaluation visit:
 - a. Continued participation in the Building Star Program.
 - b. A one-year conditional participation (“Provisional Status”) in the Building Star Program. The STAR onsite review team may recommend this alternative if it finds that the worksite has allowed one or more program elements to slip below Building Star quality. A STAR Program representative(s) shall return within six months to one year to determine if the worksite’s safety and health program has returned to Building Star quality. If Building Star quality has been restored, the STAR Program representative(s) shall recommend the worksite be re-approved as a Building Star Program worksite.
 - c. Termination. The STAR Program onsite review team shall recommend termination if it finds the worksite has significantly failed to maintain its safety and health management program at Building Star Program quality.
6. Building Star Program Ceremony/Re-certification Ceremony. Once the Commissioner of Labor signs the Building Star Program recommendation for approval report:
 - a. A Building Star Program celebration ceremony is usually hosted and held at the Building Star worksite.
 - b. At the initial ceremony, the Building Star worksite receives a Building Star banner and certificate as an earned symbol of excellence and well-deserved recognition.

D. The Public Sector Star Program

1. Purpose. Onsite evaluations of the Public Sector Star Program participants are intended to:
 - a. Determine continued qualification for the Public Sector Star Program.
 - b. Document results of program participation in terms of the evaluation criteria and other noteworthy aspects of the worksite’s safety and health program.

- c. Identify any problems that have the potential to adversely affect continued Public Sector Star Program qualification and determine appropriate follow-up actions.
2. Frequency. The first post-approval evaluation shall be within thirty-six months of the initial Public Sector Star Program approval. At the discretion of the Recognition Program Manager, subsequent re-certification evaluations shall be conducted on a five-year cycle, i.e., a five-year re-certification evaluation will be conducted, including a three-year interim visit conducted by the team leader prior to the five-year re-certification visit. *[Note: The identification of potentially serious problems may create the need for earlier evaluation.]*

For example:

- a. Company ABC is initially approved on February 18, 2009.
 - b. Around February 2012, Company ABC is re-approved to participate as a Carolina Star worksite (Initial Re-certification /Team Evaluation conducted).
 - c. Provided there are no significant changes or events within the next three years (case-by-case), the team leader will return to conduct a three-year interim visit around February 2015, which should not exceed a one-day visit. If the three-year interim visit proceeds satisfactorily, Company ABC's Carolina Star status will be extended an additional two years, to February 2017.
 - d. Around February 2017, the full re-evaluation/re-certification/re-approval process will be conducted at Company ABC.
 - e. Subsequently, the interim visit (after three years) and full re-evaluation/re-certification/re-approval process (after five years) will recur.
3. Scope. OSHNC's evaluation of Public Sector Star Program participants shall consist mainly of an onsite visit similar in duration and scope to the pre-approval program review described in the Carolina Star Program "Preapproval Onsite Review" (see Section X.). OSHNC shall review the documentation of program implementation since pre-approval review or since the previous evaluation. The evaluation shall include a review of total recordable case/days away from work, job transfer, or restriction case rates for the worksite and for its applicable temporary and contractor employees. The rates reported shall be for the three most recent complete calendar years.
4. Measures of Effectiveness. OSHNC shall use the following factors in the evaluation of Public Sector Star Program participants:

- a. Continued compliance with the program requirements and continuous improvement in the safety and health program.
 - b. Satisfaction and continued commitment of employees and management.
 - c. Nature and validity of any complaints received by OSHNC.
 - d. Nature and resolution of problems that may have come to OSHNC's attention since approval or the last evaluation.
 - e. The effectiveness of employee participation programs.
5. Evaluation Decisions. The Recognition Program Manager may make one of the following decisions following a Public Sector Star Program evaluation visit:
- a. Continued participation in the Public Sector Star Program.
 - b. A one-year conditional participation ("Provisional Status") in the Public Sector Star Program. The STAR onsite review team may recommend this alternative if it finds that the worksite has allowed one or more program elements to slip below Public Sector Star quality. A STAR Program representative(s) shall return within six months to one year to determine if the worksite's safety and health program has returned to Public Sector Star quality. If Public Sector Star quality has been restored, the STAR Program representative(s) shall recommend the worksite be re-approved as a Public Sector Star Program worksite.
 - c. Termination. The STAR Program onsite review team shall recommend termination if it finds the worksite has significantly failed to maintain its safety and health management program at Public Sector Star Program quality.
6. Public Sector Star Program Ceremony. Once the Commissioner of Labor signs the Public Sector Star Program recommendation for approval report:
- a. A STAR celebration ceremony is usually hosted and held at the Public Sector Star worksite.
 - b. At the initial ceremony, the Public Sector Star worksite receives a STAR flag and certificate as an earned symbol of excellence and well-deserved recognition.

XVI. Termination or Withdrawal

A. Reasons for Termination. A worksite will be terminated from the STAR Program when:

1. The sale of a STAR worksite to another company or a management change has significantly weakened the safety and health program.
2. Participating worksite management, or the duly authorized collective bargaining agent, where applicable, withdraws from the STAR Program.
3. A worksite fails to maintain its safety and health program in accordance with the program requirements.
4. No significant progress has been made toward achieving the established Rising Star Program goals.
5. The essential trust and cooperation among labor, management, and OSHNC no longer exists, and STAR Program participation is no longer appropriate.

B. Notification

Under most circumstances, OSHNC shall provide the participant and bargaining unit representatives 30 days' notice of intent to terminate a worksite's participation in the STAR Program. The participant will have the opportunity to appeal OSHNC's decision during that 30-day period to the Commissioner of Labor.

C. Reapplication Following Termination. Reapplication from terminated sites shall not be considered for a period of three years from the date of termination.

D. Withdrawal of a Participating Worksite. Upon receipt of an OSHNC notice of intent to terminate, or for any reason, a participant may withdraw from the STAR Program by submitting written notification to the Recognition Program Manager.

XVII. Reinstatement

Reinstatement requires submission of a new application.

Revised 5/2009

Appendix I

STAR Injury and Illness Rate Calculation Worksheet

STAR Injury and Illness Rate Calculation Worksheet

Worksite: _____

Industry NAICS: _____ Worksite NAICS (if different than Industry): _____

Year:			
	Total Recordable Cases (N = Columns G+H+I+J)	DART Cases (N = Columns H+I)	Employee-Hours Worked (EH)
STAR site			
<i>Contractors</i>			
Temporary			
TOTAL			

Year:			
	Total Recordable Cases (N = Columns G+H+I+J)	DART Cases (N = Columns H+I)	Employee-Hours Worked (EH)
STAR site			
<i>Contractors</i>			
<i>Temporary</i>			
TOTAL			

Year:			
	Total Recordable Cases (N = Columns G+H+I+J)	DART Cases (N = Columns H+I)	Employee-Hours Worked (EH)
STAR site			
<i>Contractors</i>			
<i>Temporary</i>			
TOTAL			

N = Number of recordable injuries in one year (including any contractor, temporary, and miscellaneous employees that have worked on the site 500 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 temporary and miscellaneous employees in addition to contractors that have worked on site 500 or more hours during any quarter.

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

Total Recordable Case (TRC) Rates (calculate rate for each year using the information recorded above) (N + EH x 200,000)		TRC Incidence Rates	Sum of All Years TRC Rates
Year:	÷ x 200,000		= _____
Year:	÷ x 200,000		
Year:	÷ x 200,000		

3-year Rate Average: Sum ÷ 3 = _____ | Current Federal BLS Rate = _____ | % below BLS Rate = _____

Days Away, Restricted, Transfer (DART) Case Rates (calculate rate for each year using the information recorded above) (N + EH x 200,000)		DART Incidence Rates	Sum of All Years TRC Rates
Year:	÷ x 200,000		= _____
Year:	÷ x 200,000		
Year:	÷ x 200,000		

3-year Rate Average: Sum ÷ 3 = _____ | Current Federal BLS Rate = _____ | % below BLS Rate = _____

Appendix II

STAR Program Safety and Health Evaluation Worksheet (8.3)

STAR Program Safety and Health Evaluation Worksheet

Company Name	
Company Address	
Type of Program Evaluation	
For Bldg. Star, list site address(es)	
Date(s) of Team Eval.	
Consultant/Team Member (list hours for each member)	
No .of Employees Interviewed:	Hours for Onsite Evaluation:
Legend (other than Yes/No): 0 = No; 1 = Needs Major Improvement; 2 = Needs Minor Improvement; 3 = Yes; NA = Not Applicable; NE = Not Evaluated; FE = Focused Evaluation [Note: Must provide comment(s) on 0's and 1's]	

A. Written Safety & Health Program	
(A1 – A3: For Initial Evaluation Only, Unless Identified for Improvement in Subsequent Evaluation)	
1. Are all of the elements (such as Management Commitment & Leadership, Employee Involvement, Worksite Analysis, Hazard Prevention & Control, and Safety and Health Training) part of a written program document? If not, explain. (Team Leader Responsible)	Yes <input type="checkbox"/> No <input type="checkbox"/>
2. Have all 18 critical STAR requirements been in place at least 1 year? If not, identify those critical requirements that have not been in place for at least 1 year. (Team Leader Responsible)	Yes <input type="checkbox"/> No <input type="checkbox"/>
3. Is the safety and health program appropriate for the size and hazards of that type of industry? If not, explain. (Team Input)	Yes <input type="checkbox"/> No <input type="checkbox"/>
4. Has the company mentored other companies toward their application for one of the Carolina Star Programs ? If so, list company name(s), address(es) and contact information. (Team Leader Responsible)	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
5. Has the company participated in regional team activity in preparation for Carolina Star Safety Conference? (Team Leader Responsible)	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
6. Has the company participated in the Carolina Star Safety Conference? (Team Leader Responsible)	Yes <input type="checkbox"/> No <input type="checkbox"/>
7. a) Is management aware that there are regional and national VPPPA organizations?	Yes <input type="checkbox"/> No <input type="checkbox"/>
b) If so, is the employer a member of these organizations? (Team Leader Responsible)	Yes <input type="checkbox"/> No <input type="checkbox"/>

B. Management Leadership						
	0	1	2	3	NA	NE
1. Top Management has a written policy that establishes clear priority for safety and health.						
Comments:						
2. Management assigns safety and health responsibility to both hourly employees and managers.						
Comments:						
3. Top management provides competent safety and health staff support to line managers and supervisors.						
Comments:						
4. Managers personally follow safety and health rules.						
Comments:						
5. Managers delegate the authority necessary for personnel to carry out their assigned safety and health responsibilities effectively.						
Comments:						
6. Managers allocate the resources needed to properly support the organization's safety and health system.						
Comments:						
7. Managers assure that appropriate safety and health training is provided.						
Comments:						
8. Managers support fair and effective policies that promote safety and health performance.						
Comments:						
9. Top management is involved in the planning and evaluation of safety and health performance.						
Comments:						
10. Top management values employee involvement and participation in safety and health issues.						
Comments:						

C. Planning and Evaluation						
	0	1	2	3	NA	NE
11. Findings from OSHA logs, incident (accident/near-miss/first-aid) investigations, and/or internal/external audits are reviewed and analyzed for trends.						
Comments:						
12. Safety and health goals/objectives are identified, measured, and effectively tracked.						
Comments:						
13. An action plan, designed to accomplish the organization's safety and health objectives, is in place.						
Comments:						
14. A review of the safety and health management system is conducted annually.						
Comments:						
15. Effective safety and health communications exists at the site.						
Comments:						
16. Safety and health is effectively integrated into management's planning process as part of the organization's goals.						
Comments:						

D. Administration and Supervision						
	0	1	2	3	NA	NE
17. Safety and health program tasks are each specifically assigned to employees, including hourly employees/positions, for performance or coordination.						
Comments:						
18. Each assignment of safety and health responsibility is clearly communicated.						
Comments:						
19. An accountability mechanism is included with each assignment of safety and health responsibility.						
Comments:						
20. Individuals with assigned safety and health responsibilities have the necessary knowledge, skills, and information to perform their duties.						
Comments:						

	0	1	2	3	NA	NE
21. Individuals with assigned safety and health responsibilities have the authority to perform their duties.						
Comments:						
22. Individuals with assigned safety and health responsibilities have the resources to perform their duties.						
Comment:						
23. Organizational policies promote the performance of safety and health duties and responsibilities.						
Comment:						
24. Organizational policies result in the correction of non-performance of safety and health responsibilities through an effective discipline policy and performance evaluations.						
Comments:						

E. Safety and Health Training						
	0	1	2	3	NA	NE
25. New employee orientation includes applicable training and follow-up procedures.						
Comments:						
26. Safety and health training is provided to managers and is integrated into their management training.						
Comments:						

F. Worksite Hazard Analysis, Prevention, and Control						
	0	1	2	3	NA	NE
27. Management and employees have an understanding of the safety and health hazards of the workplace.						
Comments:						
28. An effective Occupational Health (medical) program is provided?						
Comments:						
29. Effective safety and health self-inspections are documented and performed regularly.						
Comments:						
30. Effective periodic safety and health program evaluations are conducted and documented.						
Comments:						

	0	1	2	3	NA	NE
31. An effective hazard reporting, tracking and response system exists.						
Comments:						
32. Change analysis is performed whenever a change in facilities, equipment, materials, or processes occurs.						
Comment:						
33. Incidents (personal injury/illness accidents, property damage, first-aids, and near misses) are investigated for root causes/contributing factors and measures are established to prevent future re-occurrences.						
Comments:						
34. Material Safety Data Sheets are used to reveal potential hazards associated with chemical products in the workplace.						
Comments:						
35. Effective job hazard analysis is performed for safety and health hazards.						
Comments:						
36. Baseline and periodic Industrial Hygiene surveys are conducted and sampling results are compared to minimum permissible exposure limits (OSHA PELs) or to more restrictive exposure limits (ACGIH TLVs).						
Comments:						
37. Feasible engineering controls are in place.						
Comments:						
38. Effective safety and health rules and work practices are in place.						
Comments:						
39. Personal protective equipment is properly selected and effectively used.						
Comments:						
40. Housekeeping is properly maintained.						
Comments:						
41. The organization is properly prepared for emergency situations.						
Comments:						
42. The organization has an effective plan for providing competent emergency medical care to employees and others present at the site.						
Comments:						
43. Effective preventative maintenance is performed.						
Comments:						
44. An effective procedure for tracking correction of safety and health hazards is in place.						
Comments:						

G. Employee Involvement & Participation						
	0	1	2	3	NA	NE
45. There is an effective process to involve employees in safety and health issues.						
Comments:						
46. Employees have input into safety and health policies.						
Comments:						
47. Employees have input regarding safety and health resources (e.g., issues/ideas brought to management for evaluation/resolution, team evaluation of problems/resolutions).						
Comments:						
48. Employees are involved in providing training and/or providing feedback into training needs of co-workers (e.g., lead toolbox/pre-shift mtgs., on-the-job safety/health training, medical in-services, training on inspections of work/work areas, etc.).						
Comments:						
49. Employees participate in hazard detection, prevention, and control activities (e.g., incident investigations, etc.)						
Comments:						
50. Employees participate in safety and health planning, goal-setting, and evaluation of the facility's safety and health performance (i.e., feedback to management/S&H personnel for improvements, annual reviews of S&H programs/managements, committee participation, etc.).						
Comments:						

H. Contract Workers						
Does the site utilize contractors (in-house contractors and sub-contractors)? If yes, identify the contractors, their function(s) and number of employees. If no, skip this section.	Yes <input type="checkbox"/>					
	No <input type="checkbox"/>					
Comments/List Contractors/# of employees:						
51. When selecting contractors or sub-contractors, the site has a written procedure which includes selection criteria to evaluate the contractors' safety and health program.						
Comments:						
52. The site has an effective safety and health training program for the contractors or has established means to ensure that the contractors have an effective safety and health training program.						
Comments:						

	0	1	2	3	NA	NE
53. The site has an effective procedure for the control/oversight of contractors, including correction of hazards created by contractors on-site.						
Comments:						
54. Procedures are in place to control exposures to safety and health hazards created by the contractors.						
Comments:						
55. Site management and other employees have received appropriate awareness training to recognize hazards created by the contractors.						
Comments:						

I. Process Safety Management	
Is the facility covered by the Process Management Standard (29 CFR 1910.119)? If yes, see Attachment A; if no, skip this section.	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
List PSM-covered chemicals/quantities:	

J. Building Star Evaluations	
Does the company utilize sub-contractors? If yes, identify the contractors, their function(s) and number of employees. If yes, see Attachment B; if no, skip this section.	Yes <input type="checkbox"/> No <input type="checkbox"/> N/A <input type="checkbox"/>
List of sub-contractors:	

Total Possible Score for the worksite:	Site Score:	Percentage:
Team Recommendation:		

Areas of Excellence

Areas for Improvement (Action Plan needed within 30 days)

Recommendations for Improvement

STAR Goals (when recommending Rising Star)

Provide the following documents/programs (if applicable) for review by the STAR evaluation review team.

DOCUMENTS REFERENCED/PROGRAMS REVIEWED	Yes	NE	NA
OSHA 300/300A Forms for the three most recent complete calendar years			
First Aid Reports			
Incident Investigation reports			
Annual Safety and Health Program Evaluations			
Industrial Hygiene Exposure Assessment and Control Plan and Survey Reports			
Employee Roster (by shift, if possible)			
List of Safety Committee members			
Safety Committee Meeting Minutes			
Safety and Health Training Records			
Self audits/inspections and tracking reports			
JSA's/JHA's/SOPs			
Employee complaint/suggestion program and tracking			
Medical records (surveillance required by OSHA standards)			
Inspection reports for cranes and hoists			
Mechanical Power Press Inspection and Maintenance Records			

WRITTEN PROGRAMS (SITE- SPECIFIC)	Yes	NE	NA
PPE Programs/Hazard Assessments: <input type="checkbox"/> Respiratory Program <input type="checkbox"/> Head protection <input type="checkbox"/> Hand protection <input type="checkbox"/> Eye/face protection <input type="checkbox"/> Hearing protection <input type="checkbox"/> Other (list) _____ <input type="checkbox"/> Foot protection <input type="checkbox"/> Fall protection			
Bloodborne Pathogens Program			
Confined Space Program and Permits			
Contractor Selection and Safety Program			
Electrical Safety Program			
Emergency Action Plan (including documentation of drills)			
Ergonomics/Back Injury Prevention Program			
Expanded Health Standards (such as Lead, Asbestos, etc.)			
Fall Protection Program			
Fire Protection Program (including inspection of hoses, fire extinguishers, alarms, etc.)			
Hazard Communication Program and MSDSs			
HAZWOPER/Emergency Response Program			
Hearing Conservation Program			
Hot Work Program and Permits			
Ionizing Radiation Protection Program			
Laboratory Safety Program/Chemical Hygiene Plan			
Ladder Safety			
Lockout/Tagout Program (including documentation of audits)			
Machine Guarding Program			
Material Handling/Powered Industrial Trucks Program			
Non-Ionizing/Laser Safety Program			
Preventative Maintenance Program			
Process Safety Management (PSM) Program			
Program for Establishing Fire Brigade			
Respiratory Protection Program			
Security/Workplace Violence Prevention Program			
Vehicular/Driving Safety			

Attachment A. Process Safety Management

1. The facility PSM program includes all of the applicable elements of the PSM standard. <i>If No, list the missing elements.</i>	Yes <input type="checkbox"/>	No <input type="checkbox"/>				
Comments:						
2. The facility PSM program is effective. <i>If No, explain why.</i>	Yes <input type="checkbox"/>	No <input type="checkbox"/>				
Comments:						
	0	1	2	3	NA	NE
3. There is an effective plan for participation by employees (including contractors) in the PSM program.						
Comments:						
4. The process safety information includes the hazards of the chemicals, technology of the process(es), and equipment in the process(es).						
Comments:						
5. Effective process hazard analysis procedures have been conducted and documented to include the identification, evaluation and control of hazards in the process(es).						
Comments:						
6. Clear and concise written operating procedures have been developed which include steps for each operating phase, operating limits and safety/health considerations.						
Comments:						
7. Effective initial and re-fresher training has been provided to employees (including contractors) on the PSM-covered process(es) and operating procedures to include specific safety and health hazards, emergency operations including shutdown, and safe work practices.						
Comments:						
8. Effective procedures have been developed for selecting, training, and monitoring contractors involved in the PSM-covered process(es).						
Comments:						
9. Contract employer has effective procedures for training of employees involved in PSM-covered process(es).						
Comments:						
10. Effective pre-startup safety review procedures have been developed for new and significantly modified facilities.						
Comments:						
11. Through written procedures, training, inspections and testing, there is an effective process to maintain the mechanical integrity of PSM-covered process equipment.						
Comments:						
12. There is an effective hot-work program for operations conducted on or near PSM-covered process(es).						
Comments:						
13. Effective management of change procedures are in place.						
Comments:						

	0	1	2	3	NA	NE
14. There are effective and thorough procedures for promptly performing incident investigations and addressing incident report findings and recommendations.						
Comments:						
15. There is an Emergency Action Plan for the entire facility to include procedures for the handling of small releases and (where applicable) hazardous waste and emergency response provisions.						
Comments:						
16. There are procedures for PSM audits which evaluates compliance with the PSM standard at least every 3 years and documents the deficiencies noted.						
Comments:						

Attachment B. Building Star/Sub-contractor Star

1. When selecting sub-contractors, the site has a written procedure (including selection criteria) to evaluate the contractors' safety and health program.						
Comments: <i>Refer to Question #51 in main section.</i>						
2. The site has a safety and health training program for the sub-contractors or has established means to ensure that the sub-contractors have an effective safety and health program training.						
Comments: <i>Refer to Question #52 in main section.</i>						
	0	1	2	3	NA	NE
3. The company has an effective procedure for the control and oversight of sub-contractors on-site.						
Comments:						
4. Effective procedures are in place to control exposures to safety and health hazards created by other contractors.						
Comments:						
5. Site management personnel have received appropriate awareness training to recognize hazards created by the sub-contractors and have the authority to make corrections.						
Comments:						
6. Effective procedures are in place to protect other contractors working in the work zone.						
Comments:						
7. Effective safety audits of the jobsite are conducted and documented.						
Comments:						
8. Housekeeping is effectively maintained.						
Comments: <i>Refer to Question #40 in main section.</i>						
9. Effective procedures are in place to control fall hazards.						
Comments:						
10. Effective procedures are in place to control electrical hazards.						
Comments:						
11. Effective procedures are in place to control caught-in hazards.						
Comments:						
12. Effective procedures are in place to control struck-by hazards.						
Comments:						
13. Effective procedures are in place to control health hazards.						
Comments/List health hazards present at jobsite:						
14. Effective procedures are in place to control special hazards on the construction site. If so, list the special hazards (e.g., trenches, respiratory hazards, etc.) . (To be determined by STAR team.)						
Comments/List of special hazards:						