

APPENDIX C (CONT.)

Inclusions

Inclusions are the same as in Question #25.

Exclusions

Exclusions are the same as in Question #25.

Procedures

Enter the total number of persons on the appropriate line. For each individual enter the cluster letter which best describes the major portion of their duties.

Question

27. Do you have a program under which you regularly or periodically monitor the presence of physical agents such as heat, vibration, radiation, noise, or other types of physical agents?

1 Yes (Circle "1" or "2" for each physical agent listed below:)

	Yes	No
1. Heat	1	2
2. Vibration	1	2
3. Radiation	1	2
4. Noise	1	2
5. Other	1	2

2 No (Code a "0" in the blank for N/A in question 28)

Intent

To determine the existence of a company policy in maintaining a program for the monitoring of certain physical agents as part of its occupational health program, and the awareness of management of potentially hazardous physical agents.

NOTE

MSHA regulations require the monitoring of noise at intervals of at least every six months for each miner and worksite for all coal mining facilities.

MSHA regulations require the monitoring of radiation in all underground uranium mines, and in all other mines where radon daughter-produced radiation has equaled or exceeded a 0.1 working level.

Definitions

Regularly or Periodically monitor applies only to established programs which monitor environmental levels of physical agents on a regular and/or predictable basis.

Other refers to any physical agent management claims to monitor that is not a form of heat, Svibration, radiation, or noise.

APPENDIX C (CONT.)

Inclusions

Include tests with instruments **only** when the intent of the tests is to determine if employee health is potentially at risk.

Include tests performed by outside consultants at the direction of management, such as contract monitoring.

Include both compliance and non-compliance measurements.

Exclusions

Do not include any measurements that are simply measuring process conditions or any environmental measurements which are done where no employee exposures could potentially exist. For example, the measuring of temperature and humidity inside a sealed vessel in a process loop should **not** be counted. Exclude measurements that are taken for the sole reason of determining if a fire or explosion potential exists.

Do **not** include those monitoring tests that are not routinely performed. For example, special monitoring of new machines during the start-up and initial use stages should **not** be included.

Exclude monitoring tests where industrial hygiene is not part of the rationale behind the conduct of the tests, such as monitoring of vibration or heat conditions for sensitive equipment.

Procedures

The surveyor shall code the responses for radiation as "yes" (circle code 1) for all underground uranium mines, without asking the mine representative.

Question

28. How long do you retain the records of the monitoring program?

___ Years (If "forever" code "99")
 (If "unknown" code "98")
___ N/A

Intent

To determine the length of time that the company retains the records from its program of monitoring physical hazards.

Exclusions

Use same exclusions as in Question # 27.

APPENDIX C (CONT.)

Question

29. Do you have a program under which you regularly or periodically monitor the health-related presence of fumes, gases, mists, dusts, or vapors?

1 Yes, we have a monitoring program (circle 1 or 2 for each agent listed below)

	Yes	No
1. Fumes	1	2
2. Gases	1	2
3. Mists	1	2
4. Dusts	1	2
5. Vapors	1	2

2 No (Code a "0" in the blank for N/A in questions 30, 31, and 32)

Intent

To determine the existence of a company policy in monitoring certain conditions for the protection of the employees, and the awareness of management to potentially hazardous substances.

NOTE

MSHA regulations in coal, metal, and non-metal mines require the monitoring for methane gas, but not in the health hazard concentration range. The methane monitoring is conducted in the explosive gas range, and is conducted for safety reasons that are unrelated to health concerns.

MSHA regulations require monitoring for coal mine dust in all underground coal mines. MSHA regulations also require monitoring for coal mine dust in all surface mining facilities, but the MSHA District Manager must withdraw this requirement if the operator is able to maintain continuing compliance with the applicable respirable dust standard during at least a one-year period.

Definitions

Regularly monitor applies only to established programs which monitor levels of chemical materials on a regular, predictable basis.

Inclusions

Include tests taken with instruments **only** where the intent of the tests is to determine if employee's health is potentially at risk.

Include situations where the facility's management has the monitoring performed by someone other than the facility's management, such as monitoring by contract. Include monitoring programs established and/or conducted by or for the facility's insurance carriers provided they are performed regularly or periodically. **NOTE:** A "Yes" response should be coded if the program includes any part of the facility.

Exclusions

Do **not** include any measurements that are simply measuring process conditions or any environmental measurements which are done where no employee exposures could potentially exist. For example, the measuring of temperature and humidity inside a sealed vessel in a process loop should **not** be counted.

APPENDIX C (CONT.)

Exclude measurements that are taken for the sole reason of determining if a fire or explosion potential exists.

Exclude monitoring for methane gas in coal, metal, and non-metal mines in which the monitoring is conducted in the explosive gas range, with the purpose of preventing explosions.

Do not include those monitoring tests that are not routinely performed. For example, special monitoring of new machines during the start-up and initial use stages should not be included.

Exclude monitoring tests where industrial hygiene is not part of the rationale behind the conduct of the tests, such as monitoring of dust conditions for fire insurance reasons or monitoring of process conditions.

Exclude all programs conducted by federal, state, or local governmental agencies and officials, exclude any one-time studies of the facility or areas within the facility. Exclude all non-periodic consultations by consultants, insurance carriers and others.

Procedures

If the mine monitors for any of the above agents, circle the 1 beside the yes, and proceed to circle the 1 (for yes) or the 2 (for no) for each agent as appropriate.

The surveyor shall code the response for dusts by circling the 1 for all coal mines, without asking this question of the coal mine representative.

If a given agent is not monitored, then the surveyor should circle 2 for that agent.

If none of the agents are monitored, circle the 2 beside the word "No".

Question

30. How is this monitoring conducted?

N/A _____

- 1 Sample collection with laboratory analysis (Code a "0" in the blank for N/A in question 31)
- 2 Direct-reading instruments
- 3 Both

Intent

To categorize the normal pattern of monitoring for this facility.

Inclusions

Inclusions are noted in Question #29.

Exclusions

Exclusions are noted in Question #29.

APPENDIX C (CONT.)

Question

31. Which types of direct-reading instruments are used in the monitoring program? Circle "1" or "2" for each type listed below:

N/A _____

	Yes	No
1. Direct mass measurement tests	1	2
2. Fibrous aerosol monitors	1	2
3. Detector tubes	1	2
4. Infrared (I.R.) gas monitors	1	2
5. Ultraviolet (U.V.) gas monitors	1	2
6. Gas chromatograph monitors	1	2
7. Electrochemical monitors	1	2
8. Other "wet" chemical methods	1	2

Intent

To categorize the current practices of the facility with regard to direct-reading instrumentation.

Procedures

Make sure that either "yes" or "no" (code response "1" or "2") is circled for each applicable instrument type.

Question

32. How long do you retain the records of the monitoring program?

NOTE: DO NOT ASK THIS QUESTION IN COAL MINES.

N/A _____

___ Years (If "forever" code "99")
 (If "unknown" code "98")

Intent

To determine the length of the time that the company retains the records from its program of monitoring fumes, gases, mists, dusts, etc.

NOTE

MSHA requires that dust sample records for samples taken in the exhaust air to be retained for 2 years.

MSHA requires that personal dust sample records be retained until the person would have been 75 or until 2 years after the person's death.

Procedures

For coal mines, the surveyor shall enter "CO" to designate the regulatory requirements.

APPENDIX C (CONT.)

Question

33. Are there areas in this facility in which personal protective health devices or equipment are required or recommended?

- 1 Yes, required
- 2 Yes, recommended
- 3 Yes, both
- 4 No (Code a "0" in the blank for N/A in questions 34, 35, 36, and 37)

Intent

To determine the facility management's policy towards the use of personal protective devices and equipment.

NOTE

MSHA regulations require personal protective devices only in those areas cited for over-exposure to some health hazard.

Definitions

Required means that there is a formal company policy that some or all employees must use personal protective devices as a condition of employment. This policy may or may not be enforced.

Recommended indicates that the facility's management encourages employees to use personal protective devices but it is **not** a condition of employment.

Personal protective health devices and equipment include, but are not limited to, ear plugs, gloves, rubberized clothing, welding helmets, and/or goggles, and respirators.

Inclusions

If only one work area or department requires or recommends the usage of personal protective devices, the response should be coded "1" or "2", as applicable. If a facility has some areas that **recommend** usage and some areas that **require** usage, the response should be coded "3". Include respirators.

Include only personal protective devices or equipment used for health hazards as opposed to safety hazards.

Exclusions

Exclude cases where personal protective gear is worn because an employee wants to do so -- but use of protective devices is not required or recommended by the employer. The response in such cases should be coded "4".

Do not include safety equipment, such as hard hats, safety shoes or glasses.

Procedures

If the response to Question #33 is "no", skip to Question #38.

APPENDIX C (CONT.)

Question

34. Who has been designated to see to it that personal protective health devices and equipment are serviced and maintained?

N/A _____

- 1 individual employees
- 2 employer representative
- 3 both
- 4 no one
- 5 other, specify _____

Intent

To determine if formal responsibility has been assigned to an individual or individuals for maintaining personal protective health devices and equipment in proper operating order.

NOTE

MSHA regulations only require that personal protective health devices be clean and sanitary. They do not specify who is to maintain them in that condition, nor do they have any requirement that the personal protective device be in proper operating order.

Definitions

Servicing and/or maintaining refers to such activities as cleaning or changing filters or cartridges in respirators, repairing straps of safety goggles or face shields, filling of air tanks, repairing of broken lenses, etc.

Personal protective health devices are defined in Question #33.

Inclusions

“Designated” is the key word in Question #34. If the employer has directed the employees to maintain their own equipment and provides cleaning apparatus and work space, the response is coded “1”. If the employees normally maintain their own equipment, but they have not been specifically charged or directed by management, the response would be coded “4”. If the employer has established procedures whereby a union or a governmental agency is to maintain the equipment, the response should be coded “5” with an explanation entered on the *“specify”* line. If the employer has assigned a specific employee to maintain personal protective devices for all employees, then code “2”.

Exclusions

Not applicable.

Procedures

If items 1 through 4 do not apply, code 5 and specify who maintains the equipment on the line following the word *“specify”*. If both the individual employees and another person(s) maintain the equipment, then circle 1 for the individual employee.

APPENDIX C (CONT.)

Question

35. In those instances where employees refuse to wear protective health devices or fail to wear them properly, are corrective measures taken?

N/A _____

1 Yes

2 No (Code a "0" in the blank for N/A in Questions 36 and 37)

Intent

To determine if the employer has a functioning system of corrective actions for improper wearing of protective health devices, equipment or clothing.

Definitions

Corrective action is formal action by plant management personnel against the individual involved.

Improper means wearing of non-functional clothing or devices, including respirators rendered non-functional due to improper facial fit.

Inclusions

Include such actions as personnel actions (transfer, removal, suspension, etc.). Exclude labor union sanctions against the employee.

Exclusions

Corrective counselling is not considered a corrective measure.

Procedures

If the response to Question #35 is "no", skip to Question #38.

Question

36. Do those corrective measures involve economic penalties?

N/A _____

1 Yes

2 No (Code a "0" in the blank for N/A in Questions 37)

Intent

To determine the extent to which employees are penalized by the employer because of failure to comply with facility requirements for proper wearing of protective clothing, devices, and equipment.

APPENDIX C (CONT.)

Definitions

Economic penalties are defined as official disciplinary actions taken by management which result in a financial loss to the affected employee, either directly or indirectly.

Inclusions

Include all official disciplinary actions which result in financial penalties to the employee. Such actions include fines, dismissal, reduction in work hours, reassignment or transfer (at a lower wage rate), suspension, loss of seniority credits, loss of shift differential, etc.

Exclusions

Exclude all actions which are not taken on behalf of plant management, such as labor union sponsored sanctions or fines against the employee.

Do not include medical or related costs incurred by the individual as a consequence of the improper wearing of protective devices, clothing or equipment, i.e., the costs to the employee purchasing skin lotion because he was not wearing chemical resistant gloves.

Procedures

This question is asked only if the response to Question #35 is "yes". If the response to Question #36 is "no", skip to Question #38.

Question

37. Have any economic penalties been assessed in the past 12 months?

N/A _____

- 1 Yes
- 2 No, we know of no instances where violations of company policy have occurred within the last 12 months.
- 3 No, although we know that there was at least one violation of company policy within the last 12 months.

Intent

To determine whether formal corrective actions involving economic penalties have been taken in the last 12-month period as a result of employee refusal to wear protective health devices, or employee failure to wear such devices properly.

Definitions

Economic penalties are defined in Question #36.

Inclusions

As in Question #36.

Exclusions

As in Question #36.

Procedures

This question is asked only of those who respond affirmatively to Question #36.

APPENDIX C (CONT.)

GENERAL RECORDKEEPING AND MISCELLANEOUS INFORMATION

Question

38. How long are personnel records on terminated employees retained?

___ ___ ___ Years (If "*forever*", code "999")
(If "*unknown*", code "998")

Intent

To determine the length of time records on terminated employees are kept by the company.

NOTE

MSHA has no requirement for the retention of personnel records on terminated employees.

Inclusions

Include all recordkeeping systems which identify an individual and provide personal data about that individual.

Exclusions

Exclude recordkeeping systems that only identify a group of people collectively. Exclude medical recordkeeping systems.

Question

39. Do you keep employee absenteeism records?

- 1 Yes, showing specific nature of illness where appropriate
- 2 Yes, showing only the type of absence
- 3 Yes, without showing the type of absence
- 4 No

Intent

To determine if the facility's management keeps any absenteeism records and, if they do, at what level of detail.

Definitions

Employee absenteeism records refers to that information kept by management concerning the failure of employees to report to work when scheduled.

Exclusions

Do not include those records required to be kept by OSHA, MSHA, or State regulations.

Procedures

Ask the management representative the question, "*Do you keep employee absenteeism records?*" If the response given is not adequate to determine the proper code, additional questioning will be necessary.

APPENDIX C (CONT.)

For example, the response may simply be "yes". In this case ask, "Do these records show the specific nature of sickness?" If answered "yes", code a "1"; if not, ask, "Do these records show the nature of the absence?" If answered "yes", then code a "2". If answered "no", the proper code will be "3".

If the legal requirements are unknown, then circle 1 through 4 as appropriate.

Question

40. What is your rate of unscheduled absenteeism?

__ __ __ days per employee per year (If unknown, code "998")

Intent

To determine the absenteeism rate for the establishment due to illness or injury. This number will later be compared to various other facility information to see where correlation might exist.

Definitions

Unscheduled absenteeism is defined as the failure of employees to report to work when scheduled.

Rate is defined as the number of days per year per employee.

Inclusions

Include only those days where the absence is due to illness, injury, or failure to report to work.

Exclusions

Do not include those days where the absence is due to vacation, jury duty, pre-arranged personal leave, maternity leave, strikes, layoffs, work cancelled due to the weather, etc. If the only rate known by the company includes any of these items enter the response "998".

Procedures

Where the interviewee says he does not know the absenteeism rate, the interviewer should ask if the information is available from another individual or from the facility's personnel records. If the information is available from these sources, the interviewer should request that the information be obtained. Round answers up to the nearest whole number. For example, if the response is given as being from 4.5 to 5.4 days per year, the response should be coded "5". Where an employer provides a percentage rate, multiply that percentage by "240" work-days to determine the days per year per employee. If the absentee rate is not known, enter the code "998".

APPENDIX C (CONT.)

Question

41. What is your turnover rate among permanent employees in the non-administrative areas?

___ ___ % per year

Intent

To determine an overall turnover rate for employees engaged in non-administrative jobs.

Definitions

Permanent employees are employees expected to be retained on a long-term basis (more than 1 year).

Non-administrative is defined as those jobs and positions which are directly engaged in the production, packaging, inspection, and shipping departments of the company. Do not include outside salespersons in this figure.

Inclusions

Include any permanent employee who is not an executive or a manager who works directly in the production, packaging, and shipping/receiving areas of the facility at least 50% of their work day.

Exclusions

Exclude temporary and seasonal employees from this calculation. Also exclude all executives and managers who do not work directly in the production, packaging, or shipping/receiving areas of the facility for at least 50% of their work day.

Procedures

The most recent 12 month data should be used.

Question

42. What year was your personnel record system begun?

Year system begun ___ ___ ___ (If "unknown", code "998")

Intent

To determine the year when personnel related data was first collected at this facility. This information will be used in planning epidemiology studies.

Definitions

Personnel record system is as defined in Question 38.

Procedures

Enter the earliest year for which systematic information was gathered and is now held for all employees.

APPENDIX C (CONT.)

Question

43. Which of the following items are contained in that system?

- 1 Social security number
- 2 Date of birth
- 3 Date(s) of employment with this facility
- 4 Jobs held at this facility
- 5 Employment history at other facilities
- 6 Sex of worker
- 7 Worker's race
- 8 Worker's home address

Intent

To determine what specific personnel-related data is contained within the personnel record system. This information will be used in planning epidemiology studies.

Definitions

Personnel record system is as defined in questions 38.

Inclusions

Include items from all previous personnel systems that are still maintained and available for future research.

Procedures

Circle the numbers corresponding to those items contained in the personnel record system.

Question

44. Who is in the best position to provide information on the amount of each chemical or trade name substance used at this facility per year? Will this person(s) be available later today or tomorrow?

The inventory contact person(s) is:

APPENDIX C (CONT.)

Intent

To determine the name and concentration of any minerals known to occur in the material being mined. This information will be used by NIOSH chemists during the analysis of the bulk settled dust samples.

Procedures

Round up all numbers to the next higher whole value. For example 0.01 would be 1 and 98.99 would be 99.

Question

46. If your mine uses diesel equipment in an underground location, when were the first diesel units brought into the mine?

- 1 We use no diesels in the underground locations of this mine.
- 2 We use diesels in underground locations of this mine, and the first diesel was brought into the mine during ____ _ .

(If "unknown" code "998")

Intent

To determine the year when the first diesels were brought into the mine.

Procedures

If there are no underground locations at the mine, code "1."

If in the past, diesel equipment was used, but is currently no longer used, also code "1."

Question

47. Does this facility have any equipment that uses PCB-containing fluids?

- 1 Yes
- 2 No
- 3 Unknown

Intent

To determine the prevalence of equipment using PCB-containing fluids in the mining industry.

Inclusions

Specific equipment using PCB-containing fluids in the mining industry are transformers, Joy Miner Models CU43 and 9CM, Joy Loader Models 14 and BU 10, and electrical capacitors.

APPENDIX C (CONT.)

Procedure

Unknown should be coded only as a last resort, after the surveyor has made several attempts to obtain a yes or no answer from management.

If a power company owned PCB-containing transformer is located on mine property and this information comes to the surveyors attention from any source (mine management, personal observation, power company representative, union representative, or any other source), then the surveyor should answer this question with a "yes". Any PCB-containing equipment that is owned by an outside firm should be coded as a "yes", regardless of who maintains it.

Question

48. Does this facility rotate shifts, and if so how often?

- 1 Yes, this facility rotates shifts on a _____ basis.
- 2 No, this facility does not use shift rotation.

Intent

To determine the prevalence and frequency of shift rotation in the mining industries.

Procedures

Circle the number "1" and code a time period in the blank if the facility rotates shifts. For example, if the facility rotates shifts anywhere on a 30 day basis, then circle "1" and code "30 day" in the blank space.

Question

49. Does this facility have a Labor-Management Health Committee?

- 1 Yes, we have a Labor-Management Health Committee.
- 2 No, we do not have a Labor-Management Health Committee.

Intent

To assist in determining the relationship between labor-management health committees and the existence of health services.

Definitions

Labor-Management means a formal committee composed of worker and management representatives.

Formal means both labor and management recognize the existence and function of the committee.

Procedures

Circle the appropriate code (1 or 2).

APPENDIX C (CONT.)

Question

50. Could you provide me with a geologic description of the strata (or rock formation) in which this mine operates?

Intent

To describe the geologic formation in which the mine operates. To assess the utility of other sources of geologic formation information.

Procedures

Enter key words from the response so as to describe the geologic formation.

Question

51. If you have an assay laboratory, or if you have access to assay reports, then may I have as an example a copy of each unique type of assay report?

- 1 Yes, we have an assay laboratory at this facility, but you may not have a copy of an assay report.
- 2 Yes, we have an assay laboratory at this facility, and you may have a copy of an assay report.
- 3 Yes, you may have a copy of each type of assay report, but we have no assay laboratory at this facility. Our reports come from an off-facility laboratory.
- 4 No, we have no assay laboratory at this facility.

Intent

To assist the NIOSH laboratory in analyzing settled dust samples obtained during the walk-through survey.

Procedure

If a copy of the assay report is not available on-site, then do not attempt to obtain a copy from some off-site facility.