

DO NOT LEAVE BLANKS  
SAMPLE

Form C-38  
10-3-07

VIRGINIA DEPARTMENT OF TRANSPORTATION  
Safety Index Rating Form

Date: XX/XX/2011 Vendor Number X1234  
Firm Name: XYZ FIRM  
Contact Person SAFETY MANAGER OR OFFICER  
Address: \_\_\_\_\_  
\_\_\_\_\_

Telephone Number: (XXX) XXX - XXXX  
Facsimile Number: (XXX) XXX - XXXX

Requirements of this form include provisions for the evaluation of a new or existing firm's safety record. The Safety Index Score of this evaluation will count 30% toward the firm's prequalification score. The Contractor's Performance Evaluation will account for the remaining 70%. An original Safety Index rating form is required to be submitted annually with the firm's prequalification submissions. This evaluation is to be completed and signed by an authorized person whose signature is on file in the prequalification office of the Scheduling and Contract Division.

*The submission of this form must include a letter from the firm's insurer indicating the EMR numbers, and applicable OSHA ~~200/300~~ logs as well as any OSHA/ VOSHA citations or VDOT issued suspensions referenced in Part II questions 3, 4 & 5.* **UNLESS FIRM HAS 10 OR LESS EMPLOYEES - INDICATE ON PART II #2.**

The maximum score for this evaluation is 300. The Contractor's score is determined by deducting the sum of the points calculated in Part I and Part II and deducting it from 300.

Safety Index Score: 300 - (Part I Total Points) - (Part II Total Points) = \_\_\_\_\_  
**SUBTRACT PART I + 2 FROM 300**

OFFICIAL USE ONLY

Safety Index Rating: \_\_\_\_\_ Prequalification Expires: \_\_\_\_\_

Approved By: \_\_\_\_\_ Date: \_\_\_\_\_

Notes: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

SAMPLE

**PART I: Contractor's Safety Philosophy Profile (20 Points)**

Listed below are questions to be used to determine your company's overall safety philosophy profile. Please provide the answer that best describes your company's present business approach and attitude towards safety.

1. Does your company have a designated safety manager?  Yes  No  
If so please provide:

Company Safety Manager: Name: \_\_\_\_\_  
Phone: \_\_\_\_\_

2. Does your company provide pre-employment drug screening for all potential field employees?

Yes  No

3. Are regular safety meetings held on project sites with all on-site employees?

Yes  No

4. Does your company check motor vehicle records for all employees who operate company vehicles?

Yes  No

5. Are all company employees provided with formal safety training?

Yes  No

If so provide a brief synopsis of the types of formal safety training provided to your employees and the date of the most recent training offered:

IF 5 IS A YES!  
GIVE EXACT DATE (M/D/Y)  
MOST RECENT FORMAL TRAINING  
SPECIFIC DESCRIPTION  
OF IN 'CLASS' TRAINING

IF ANSWER  
YES,  
FILL IN

Part I: Point Total (total number of "No" responses x 4):

$2 \times 4 = 8$

PART 2  
EXAMPLE  
2-A

# EXAMPLE FOR NEW FIRM ESTABLISHED LESS THAN 1 YEAR

Form C-38  
10-3-07

**PART 2: Contractor's Safety Operating Profile (200 Points)**

Listed below are questions to be used to determine your company's safety operating profile. Please provide the answers that best describe your company's present business operating practices regarding safety.

1. List your firm's Experience Modification Rate (EMR) for the six most recent years: (Information is available from your workers' compensation insurance carrier)
- If your business does not have six years of rates available use most recent available.
  - If you do not have an EMR, please attach an explanation (i.e. marine contractor).

Year: <u>2011</u>	Rate: <u>1.00</u>	<b>Scoring:</b> 1 point for each 0.01 the reported average is above 0.85 not to exceed 50 points  (i.e. An EMR of 0.91 results in a score of 6 points; an EMR of 0.79 results in the score of 0)
Year: _____	Rate: _____	
Year: _____	Rate: _____	
Year: _____	Rate: _____	
Year: _____	Rate: _____	
Year: _____	Rate: _____	
Average: <u>1.00</u>		Points: <u>15</u>

$$1.0 - 0.85 = 0.15 \div 0.01 = 15$$

2. Using your firm's OSHA 200/300 log and the formula below, determine your Incidence Rate for Total Recordable Cases for the three most recent years of available data<sup>†</sup>. The Department will compare the rate to OSHA's most recent national industry average for those years.

INDICATE HERE IF 10 OR LESS EMPLOYEES THEN POINTS = 0

Incidence Rate for total recordable cases = (Number of recordable incidents ÷ total hours worked by all employees during the calendar year) x 200,000

LAST 3 COMPLETE YEARS

Contractor		U.S. Industry <sup>**</sup>		<b>Scoring:</b> 0 points for Rating ≤ 0.75; 1 point for each 0.01 above 0.75 up to a maximum of 50 points (Rating = 1.25)
Year: <u>2011</u>	Rate: <u>0</u>	Year: _____	Rate: _____	
Year: _____	Rate: _____	Year: _____	Rate: _____	
Year: _____	Rate: _____	Year: _____	Rate: _____	
Avg.: <u>0</u>		Avg.: _____		
<b>Rating:</b> (Contractor Avg + Industry Avg) <u>0</u>				Points: <u>0</u>

NEED FULL COMPLETED YEAR OF OSHA LOGS.  
IF FIRM LESS THAN 1 YEAR OLD POINTS = 0

<sup>†</sup>Last three available years; Contractor and industry years do not need to reflect the same period.

<sup>\*\*</sup>U.S. Industry Rates are available on the Bureau of Labor Standards website: <http://data.bls.gov/IIRC/>

North American Industry Classification System code (NAICS): XXXXXX (See NAICS codes listed on last page)  
 Note: If OSHA 200/300 logs are not maintained, please attach an explanation.

3. Has OSHA or VOSH issued to your company and declared final any citation(s) for repeat violation(s) of any OSHA defined serious injury in Virginia in the past 5 years?  
 \_\_\_ Yes  No. If yes, please attach a detailed list of the violations.

Scoring: 0 Points if answered "No". If yes, 10 points for each citation not to exceed 60 points. Points: 0

# EXAMPLE CONTI NEEDED - PAGE 4 FOR NEW FIRM

Form C-38  
10-3-07

4. Within the last two years, has your company received ~~any~~ final citations classified by OSHA or VOSH as being willful in Virginia?  Yes  No If so, how many citations:       . Attach copy(ies) of the citation(s).

Scoring: 0 Points if answered "No". If yes, 15 points for each citation not to exceed 60 points.

Points: 0

5. Has your company within the last three years received any formal written suspensions by the Virginia Department of Transportation for violation of one of the safety emphasis areas below? If applicable, attach a copy of each written suspension.

Excavating, Trenching, or Shoring:

Yes  No

Date Issued

Fall Protection:

Yes  No

Crane Safety:

Yes  No

Equipment Safety Devices (backup alarms, etc.):

Yes  No

Workzone Traffic Control:

Yes  No

Scoring: 15 points for each response of "Yes" not to exceed 60 points.

Points: 0

## PART II

Part II: Point Total: (sum of points from questions 1 - 5)

15

QUESTIONS #1 + #2 + #3 + #4 + #5 = 15  
15 + 0 + 0 + 0 + 0 = 15

## PART 3: Certification

I hereby certify that the information provided in this document is true and accurate to the best of my knowledge. Material misrepresentations in any section shall be reason for discounting some or all points that the sections allows toward prequalification.

Signature: SAFETY MANAGER Date: M/D/YR

Name: \_\_\_\_\_ Title: \_\_\_\_\_  
(print or type)

### North American Industry Classification System codes (2002)

- 237310: Highway and Street Construction except Elevated Highways
- 237310: Bridge and elevated highway construction
- 237990: Tunnel Construction
- 238210: Highway lighting and signal installation
- 238320: Bridge Painting

If your company performs multiple classifications listed above along with Highway and Street construction, use NAICS Code 237310.

For additional NAICS codes, contact OSHA of the U. S. Department of Labor or visit their website.

PAGE 4 NEW FIRM