## NEVADA OCCUPATIONAL SAFETY AND HEALTH REVIEW BOARD

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CHIEF ADMINISTRATIVE OFFICER

DEPARTMENT OF BUSINESS AND

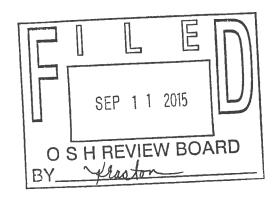
vs.

OF THE OCCUPATIONAL SAFETY AND

COOPER ROOFING AND SOLAR, LLC,

HEALTH ADMINISTRATION, DIVISION OF INDUSTRIAL RELATIONS OF THE

Docket No. LV 15-1778



## **DECISION**

Complainant,

Respondent.

This matter having come before the NEVADA OCCUPATIONAL SAFETY AND HEALTH REVIEW BOARD at a hearing commenced on the 11th day of August 2015, in furtherance of notice duly provided according to law, MS. SALLI ORTIZ, ESQ., counsel appearing on behalf of the Complainant, Chief Administrative Officer of the Occupational Safety and Health Administration, Division of Industrial Relations (OSHA); and MR. JOHN GEORGE, ESQ. appearing on behalf of Respondent, COOPER ROOFING AND SOLAR; the NEVADA OCCUPATIONAL SAFETY AND HEALTH REVIEW BOARD finds as follows:

Jurisdiction in this matter has been conferred in accordance with Chapter 618 of the Nevada Revised Statutes.

The complaint filed by the OSHA sets forth allegations of violation of Nevada Revised Statutes as referenced in Exhibit "A", attached thereto.

Citation 1, Item 1, charges a violation of 29 CFR 1926.501(b)(13)

as follows:

Citation 1, Item 1, 29 CFR 1926.501(b)(13): "Residential construction." Each employee engaged in residential construction activities 6 feet (1.8 m) or more above lower levels shall be protected by guardrail systems, safety net system, or personal fall arrest system unless another provision in paragraph (b) of this section provides for an alternative fall protection measure. Exception: When the employer can demonstrate that it is infeasible or creates a greater hazard to use these systems, the employer shall develop and implement a fall protection plan which meets the requirements of paragraph (k) of 1926.502.

At the Monte Bello at Summerlin project, employees engaged in residential construction activities more than six feet above a lower level without being protected by a guardrail system, safety net system or personal fall arrest system. The employees were located on the roof getting their harness and securing sheet metal. This exposed employees to a potential fall hazard of approximately eleven feet above the lower level with potentially serious bodily harm like broken bones or paralysis.

Cooper Roofing & Solar, LLC was previously cited for a violation of the same occupational safety and health standard equivalent at 29 CFR 1926.1926.501(b)(10), which was contained in OSHA inspection number 316847375, citation number one, item number one and affirmed as a final order on September 17, 2014.

The violation was classified as **Repeat/Serious**. The proposed penalty for the alleged violation is in the amount of EIGHT THOUSAND DOLLARS (\$8,000.00).

Complainant and respondent stipulated to the admission of documentary evidence at complainant Exhibits 1 through 4.

Complainant presented testimony and documentary evidence with regard to the alleged violation. Nevada CSHO Mr. Tristin Dressler provided photographs identified as exhibits in evidence numbers 53-85. Mr. Dressler did not take part in the investigation but resides near the worksite. He was sworn as a witness and testified his only role in the matter involved providing the photographs taken from his residential home property. He testified the violative conduct was "... observed

in public plain view."

Compliance Safety and Health Officer (CSHO) Mr. Eric Aros testified as to his inspection and the citation issued to the respondent employer. Mr. Aros was directed to the job site based upon information reported to Nevada OSHA by CSHO Tristin Dressler.

CSHO Aros formally commenced his inspection on October 1, 2014. He was assisted in his inspection by CSHO Aldo Lizarraga to provide translations for Spanish speaking witnesses. He conducted an opening conference with respondent representatives Mr. Napoleon Mendez, and Ms. Virginia Toalepai, safety consultant of World Wide Safety. Entry to the site was granted by the respondent representatives.

CSHO Aros identified the photographic evidence at Exhibit 1, pages 53-85. He testified that he observed and photographed respondent employees working without "tie-off" protection in violation of OSHA standards. Referencing photographic Exhibit 1, pages 66-68, Mr. Aros testified he measured the fall hazard exposure distances to demonstrate the application of the cited standard and a potential fall hazard of eleven feet. He testified the standard requires appropriate fall protection where a potential hazard exists of six feet or more.

Mr. Aros referenced the witness statement at Exhibit 1, page 17 from Mr. Alberto Bautista who identified himself as a "working foreman." He testified the Bautista witness statement in evidence at page 18 established the potential fall hazard to be greater than six feet; and respondent employees Martin-Corona and Martin-Martin were not tied off for "about five minutes." Mr. Bautista further reported in his witness statement that "I knew that he wasn't tied off . . . I can send someone home if they aren't tied off." Mr. Aros testified from Exhibit 1, page 20, identified as a witness statement from employee Rogaciano Martin-

Corona. The statement provided "I was untied for about two minutes because Alberto told me to go get your harness . . . . "  $\,$ 

CSHO Aros continued direct testimony and identified Exhibit 1, page 22 as a witness statement from Mr. Martin-Martin. The witness reported in his statement "I was not tied off for five minutes because we were going to climb down . . . . " He further referenced the witness statement to provide that "Alberto was on the roof all day with us . . . . " Mr. Aros testified that "Alberto" was a reference to Mr. Alberto Bautista, the working foreman. Mr. Aros continued testimony and identified Exhibit 1, page 23 as the witness statement from employee Aldair Iniesta. In the witness statement Mr. Iniesta identified himself as the individual depicted in photograph Exhibit 1, page 69 without tie-off protection. CSHO Aros testified Exhibit 1, page 53 is a photograph of working foreman Bautista on the roof without tie-off protection.

Mr. Aros confirmed the previous violation "Final Order" at Exhibit 2 as the basis for the **Repeat** classification. He described the proposed penalty and the calculations made in furtherance of the OSHES enforcement manual. He testified there were limited "credits" available because an entire crew was not tied off at the time of inspection, and the respondent employee supervisor admitted he was aware of the non-compliant conditions.

Mr. Aros testified he reviewed six months of the respondent employee disciplinary records. At Exhibit 3, page 158 he identified and explained the document as a field form inspection report. He testified the report established an employee on a roof without "tie-off" was not subject of disciplinary action. Mr. Aros noted at Exhibit 3, pages 131-135 the same employee previously involved in the fall hazard safety violation did not receive disciplinary action and was in fact subject

of a promotion.

On redirect examination Mr. Aros confirmed at Exhibit 1, page 18 the Bautista witness statement provided "I can send someone home if he's not tied off . . . . " He further testified the photograph at Exhibit 1, page 70 depicts a third employee involved in violative conduct, but not considered part of the subject citation.

Respondent conducted cross-examination. CSHO Aros testified a supervisory representative is a person who has the authority to correct or refer violative conduct for action. He testified his interview with foreman Bautista demonstrated that management had knowledge of the violative conditions. He responded to questioning that his finding of employee knowledge was based only upon Mr. Bautista being a supervisory employee in his role as working foreman.

Counsel rested the complainant's case. Respondent presented testimonial evidence.

Mr. Thomas Donnelly identified himself as the company owner and described the respondent safety plan and policies. He further explained the difficulties involved with maintaining constant supervision of employees on widespread worksites throughout the city, and limited number of supervisors to assure enforcement. Mr. Donnelly testified he is not normally aware of violative conduct and citations given his approximate 210 employees working at multiple worksites. He could only become aware by actually looking at particular disciplinary forms. He testified that his program is proactive and better than most. He further testified that after the previous violation he retained the services of professional safety experts to assist with enforcement through World Wide Safety and Ms. Virginia Toalepai.

On cross-examination Mr. Donnelly testified his company

disciplinary policy involves a three step process. The first incident results in a "write up," the second results in removal of bonus pay incentives, and a third requires loss of all bonus incentive pay and ultimately termination. Counsel challenged Mr. Donnelly to explain how he might expect foreman Bautista to keep other employees safe if he himself did not comply with tie-off protection. Mr. Donnelly responded that he hired the independent third party safety professionals for oversight and to assist with compliance. He further explained that it was impossible to watch employees every minute of the day; and given the high number of his employees and worksites, the company violative occurrences were minimal.

Counsel presented witness testimony from Ms. Virginia Toalepai, the owner of World Wide Safety. She identified herself as a construction safety professional with eight inspectors working for her throughout the city. She conducts eight to ten inspections per day, each consisting of approximately 15 minutes of time. Ms. Toalepai testified she was retained by respondent to provide construction safety compliance oversight and training.

On cross-examination Ms. Toalepai described supervisory authority. She testified that if an employee has the authority to remove a person from the worksite, that is a form of discipline and establishes supervisory status.

At the conclusion of presentation of evidence and testimony counsel provided closing argument. Complainant asserted the burden of proof was met to establish the violation of the cited standard by a preponderance of evidence. The photographic exhibits clearly depicted and established multiple employee fall hazard exposures. The witness statements confirmed respondent employees admissions of unprotected exposure to the

fall hazards. Counsel argued that with foreman Bautista not tied off, as well as the identified employees, proof of employer knowledge of the violative conduct was established constructively through imputation. Foreman Bautista admitted he had management authority by virtue of his right to ". . . send individual's home . . . from the worksite." Ms. Toalepai's testimony supported the employer knowledge proof element by describing removal from the job site as a form of discipline within a supervisor's authority.

Counsel asserted that while respondent maintained a safety program and disciplinary plan, the facts and documents in evidence established it was not "meaningfully enforced." Counsel argued the documentary evidence demonstrates that 60% of the "write ups" are for company foremen and ". . . the same people appear to be violating the same fall protection standards . . . . " "Red flags are there; . . . " with the foreman awareness and disciplinary records, employer knowledge is clearly established. Counsel asserted the problem may relate to "piece work" compensation. There is little incentive for employers who pay employees based upon the amount of work accomplished to provide extended enforcement for safety which slows down work progress.

Respondent presented closing argument. Counsel argued the employer safety policies are in place, but supervision is difficult and cannot involve constant oversight of every employee throughout the day. The respondent hired a third party safety contractor after it received its second citation, but it's not something that can eliminate every infraction because of the size and scope of the employer's operations in Las Vegas. Given the approximate 210 employee average workforce and multiple worksites, the actual history of the respondent should be considered good. Counsel asserted the respondent record of good faith.

He noted that in 2010 there were 2 citations, in 2011, 1; 2012, 1; 2013, 2; and in 2014 the subject citation. Counsel urged the Board consider the substantial number of employees and thousands of hours worked each year. He argued those statistics should be considered before imposing a repeat violation and excessive monetary penalties on a good faith employer.

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In considering the testimony, exhibits, and arguments of counsel, the Board is required to review the evidence and established legal elements to prove violations under recognized occupational safety and health law.

In all proceedings commenced by the filing of a notice of contest, the burden of proof rests with the Administrator. (See NAC 618.788(1)).

All facts forming the basis of a complaint must be proved by a preponderance of the evidence. See Armor Elevator Co., 1 OSHC 1409, 1973-1974 OSHD ¶16,958 (1973).

Preponderance of the evidence means evidence that enables a trier of fact to determine that the existence of the contested fact is more probable than the nonexistence of the contested fact. NRS 233B, Sec. 2. Nassiri v. Chiropractic Physicians' Board of Nevada, 130 Nev. Adv. Op. No. 27, 327 P.3d 487 (2014)

To prove a violation of a standard, the Secretary must establish (1)the **applicability** of standard, (2) the existence of <u>noncomplying</u> conditions, (3) employee exposure or access, and (4) that the **employer knew** or with the exercise of reasonable diligence could have known of the violative condition. See Belger Cartage Service, Inc., 79 OSAHRC 16/B4, 7 BNA OSHC 1233, 1235, 1979 CCH OSHD ¶23,400, p.28,373 (No. 76-1948, 1979); Harvey Workover, Inc., 79 OSAHRC 72/D5, 7 BNA OSHC 1687, 1688-90, 1979 CCH OSHD 23,830, pp. 28,908-10 (No. 76-1408, 1979); American Wrecking Corp. v. Secretary of Labor, 351 F.3d 1254, 1261 (D.C. Cir. 2003).

NRS 618.625 provides in pertinent part:

". . . a serious violation exists in a place of employment if there is a substantial probability

that death or serious physical harm could result from a condition which exists, or from one or more practices, means, methods, operations or processes which have been adopted or are in use in that place of employment unless the employer did not and could not, with the exercise of reasonable diligence, know of the presence of the violation."

A "repeat" violation is established if based upon a prior violation of the same standard, a different standard, or general duty clause, if the present and prior violation is substantially similar.

A violation is considered a repeat violation:

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If, at the time of the alleged repeat violation, there was a Commission final order against the employer for a substantially similar violation. Potlatch Corp., 7 BNA OSHC 1061, 1063 (no. 16183, 1979). A prima facie case of substantial similarity is established by a showing that the prior and present violations were for failure to comply with the same standard. Superior Electric Company, 17 BNA OSHC 1635, 1638 (No. 91-1597, 1996). Robert B. Reich, Secretary of Labor, United States Department of Labor v. D.M. Sabia Company and Occupational Safety and Health Committee, 90 F.3d 854 (1996); Caterpillar, Inc. v. M.Herman, Secretary of Labor, Occupational Safety and Health Administration, Respondents and United Auto Workers, Local 974, Intervenors, 154 F.3d 400 (1998).

A repeated violation may be found based on a prior violation of the same standard, a different standard, or the general duty clause, but the present and prior violations must be substantially similar. Caterpillar, Inc., 18 OSH Cases 1005, 1006 (Rev. Comm'n 1997), aff's, 154 F.3d 400, 18 OSH Cases 1481 (7th Cir. 1998); GEM Indus., Inc., 17 OSH Cases 1861, 1866 (Rev. Comm'n 1996). OSHA may generally establish its prima facie case of substantial similarity by showing that the prior and present violations are of the same standard. The employer may rebut that showing by establishing that the violations were substantially different. Where the citations involve different standards, OSHA "sufficient must present evidence" establish the substantial similarity A similar showing must be made if the violations. involve the same citations standard but standard is broadly worded. Repeated violations are not limited to factually identical occurrences. Provided that the hazards are similar, minor

differences in the way machines work or in the size and shape of excavations will usually not lead to a finding of dissimilarity. In general, the key factor is whether the two violations resulted in substantially similar hazards. It is not necessary, however, that the seriousness of the hazard involved in the two violations be the same. Rabinowitz, Occupational Safety and Health Law, 2<sup>nd</sup> Ed. 2008 at pp. 230-231. (emphasis added)

A respondent may rebut allegations by showing:

- 1. The standard was inapplicable to the situation at issue;
- The situation was in compliance; or lack of access to a hazard. See, Anning-Johnson Co., 4 OSHC 1193, 1975-1976 OSHD ¶ 20,690 (1976).

The Board finds from the evidence of record that complainant met the burden of proof to establish the cited violation. The elements of proof to support the finding a violation of the cited standard were met by a preponderance of the evidence.

The standard was **applicable** to the facts in evidence. There was no claim or rebuttal to the contrary. The undisputed evidence of the height of the fall hazard to require protection was depicted in the photographic evidence at Exhibit 1; and confirmed through the respondent witness statements.

Non-complying conditions were established by the observations of CSHO Aros, the respondent witness statements, and photographic exhibits. The employer failed to implement the safety requirements specifically alleged in the cited standard.

Employer knowledge was proven through the witness statement of foreman Bautista at Exhibit 1, page 17. Mr. Bautista had the authority to require employees to comport with the fall hazard standards as well as the right to remove employees from the worksite. The employer knowledge proof element is imputed through well settled principles

recognized under occupational safety and health law.

Employee exposure was established through the unrebutted observations of CSHO Aros, the respondent employee witness statements, and the photographic exhibits depicting the employees without fall arrest protection.

The undisputed testimonial and documentary evidence established the violative conduct was appropriately classified as **serious** due to the potential injuries to be suffered by an employee falling from a distance of over six feet, and in fact approximately eleven feet at the subject site. The documentary evidence of the **repeat** classification for the cited violation was confirmed by the two previous citations of the same standards in conformance with governing occupational safety and health law.

In general, the actual or constructive knowledge of a supervisory employee will be imputed to the employer, and thus constitute a prima facie showing of employer knowledge. Where supervisory knowledge can be imputed, OSHA need not also show that there were deficiencies in the employer's safety program. Halmar Corp., 18 OSH Cases 1014, 1016-17 (Rev. Comm'n 1997), aff'd on other grounds, 18 OSH Cases 1359 (2d Cir. 1998). But see L.R. Willson & Sons Inc. v. OSHRC, 134 F.3d 1235, 1240-41, 18 OSH Cases 1129 (4th Cir. 1998), and cases cited therein at footnote 31. Occupational Safety and Health Law, 2nd Ed., Rabinowitz at page 87. (emphasis added)

". . . (A) supervisor's knowledge of deviations from (OSHA) standards . . . is properly imputed to the respondent employer . . ." Division of Occupational Safety and Health vs. Pabco Gypsum, 105 Nev. 371, 775 P.2d 701 (1989). (emphasis added)

The respondent employer knew, or with the exercise of reasonable diligence, could have known of the violative conditions. All of the violations occurred in plain view and under the supervision of company superintendent Bautista.

Complainant's initial burden to prove the violation was met by the

unrebutted sworn testimony of CSHO Aros, the photographs in evidence, and the respondent witness statements. The burden of proof to confirm a violation rests with OSHA under Nevada law (NAC 618.788); but after establishing same, the burden shifts to the respondent to prove any recognized defenses.

The respondent did not specifically raise the recognized defense of "unpreventable employee misconduct;" but asserted employee misbehavior and the principles of the defense through the employer safety policy and disciplinary program.

However, employee misbehavior, standing alone, does not relieve an employer. Where the Secretary shows the existence of violative conditions, an employer may defend by showing that the employee's behavior was a deviation from a uniformly and effectively enforced work rule, of which deviation the employer had neither actual nor constructive knowledge. A. J. McNulty & Co., Inc., 4 OSHC 1097, 1975-1976 OSHD ¶ 20,600 (1976). (emphasis added)

An employer has the affirmative duty to anticipate and protect against preventable hazardous conduct by employees. Leon Construction Co., 3 OSHC 1979, 1975-1976 OSHD ¶ 20,387 (1976).

In order to prove an unpreventable employee misconduct defense, the employer must establish that it had: established work rules designed to prevent the violation; adequately communicated those work rules to its employees (including supervisors); taken reasonable steps to discover violations of those work rules; and effectively enforced those work rules when they were violated. New York State Electric & Gas Corporation, 17 BNA OSHC 1129, 1195 CCH OSHD ¶30,745 (91-2897, 1995). (Emphasis added)

Although there is a similar doctrine of **supervisory misconduct**, some cases characterize it not as an affirmative defense but as a rebuttal of the imputation to the employer of the supervisor's knowledge. The Commission has stated that

involvement by a supervisor in a violation is "strong evidence that the employer's safety program "Where a supervisory employee is lax." involved, the proof of unpreventable employee misconduct is more rigorous and the defense is more difficult to establish since it is the supervisors' duty to protect the safety of employees under their supervision." Daniel Constr. Co., 10 OSH Cases 1549, 1552 (Rev. Comm'n 1982). Consolidated Freightways Corp., 15 OSH Cases 1317, 1321 (Rev. Comm'n 1991). Seyforth Roofing Co., 16 OSH Cases 2031 (Rev. Comm'n 1994). Rabinowitz Occupational Safety and Health Law, 2008, 2nd Ed., page 157. (Emphasis added)

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". . . (A) supervisor's knowledge of deviations from standards . . . is properly imputed to the respondent employer . ." Division of Occupational Safety and Health vs. Pabco Gypsum, 105 Nev. 371, 775 P.2d 701 (1989). (emphasis added)

is well settled that knowledge, actual or constructive, of an employer's supervisory personnel will be imputed to the employer, unless the employer establishes substantial grounds for not doing so. Ormet Corp., 14 BNA OSHC 2134, 1991-93 CCH OSHD ¶29,254 (No. 85-531 1991). Commission held that once there is a prima facie showing of employer knowledge through a supervisory employee, the employer can rebut that showing by establishing that the failure of the supervisory employee follow to proper procedures unpreventable. In particular, the employer must establish that it had relevant work rules that it adequately communicated and effectively enforced. Consolidated Freightways Corp., 15 BNA OSHC 1317, 1991-93 CCH OSHD ¶29,500 (No. 86-531, (emphasis added)

Foreman Bautista himself was observed and photographed working without fall protection in violation of the cited standard.

"[w]here a supervising employee is involved, the proof of unpreventable employee misconduct is more rigorous and the defense is more difficult to establish since it is the supervisor's duty to protect the safety of employees under his supervision." In Sec'y of Labor v. Westar Energy, 20 BNA OSHC 1736 (OSHC Jan. 6, 2004) (emphasis added)

A further element of proof to support the defense of unpreventable

employee misconduct requires preponderant evidence the respondent has taken steps to discover violations and effectively enforced the rules when violations are discovered. The weight of evidence from the company safety records and disciplinary practice supports a reasonable inference and finding that no meaningful discipline was imposed or reinforced.

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The facts in evidence clearly establish that foreman Bautista had direct knowledge of the violative conduct while working along side his crew. He could readily observe the violative conduct. The entire crew was in violation of the standard at the time of the CSHO inspection, observations and photographs. The violations of the standard, by multiple employees, occurred in plain view.

The Board is concerned with the negative impacts upon any Nevada employer cited for a repeat/serious violation and subjected to substantial monetary penalties. While regrettable, the facts in evidence under the governing occupational safety and health law leave no alternative. Employee safety and assured compliance must be fully enforced at Nevada worksites. The Board recognizes and compliments the efforts of the respondent employer through recent hiring of the third party safety consultant; however the widespread operations throughout the city and substantial number of working employees require actual meaningful enforcement be undertaken to assure compliance, employee safety, and the avoidance of future citations. It is understandable that an employer cannot supervise all of its employees every hour of the An accelerated enforcement program uniformly applied and day. meaningfully enforced can result in substantial compliance, a safer worksite, and elimination of citations. Evidence of a uniformly applied and meaningfully enforced safety and discipline program is recognized under occupational safety and health law for an employer defense of

unpreventable employee misconduct or isolated acts of employee noncompliance. Nevada occupational safety and health law does not require unreasonable enforcement practices, nor impose strict liability on employers. However there must be evidence of a qualified safety program in conjunction with a meaningfully enforced safety/ disciplinary program to avoid the imposition of citations and more importantly the potential for serious employee injuries.

It is the decision of the Nevada Occupational Safety and Health Review Board that a violation of Nevada Revised Statutes did occur as to Citation 1, Item 1, 29 CFR 1926.501(b)(13). The violation was properly classified as Repeat/Serious and the penalty proposed of EIGHT THOUSAND DOLLARS (\$8,000.00) is confirmed.

The Board directs counsel for the complainant, CHIEF ADMINISTRATIVE OFFICER OF THE OCCUPATIONAL SAFETY AND HEALTH ENFORCEMENT SECTION, DIVISION OF INDUSTRIAL RELATIONS, to prepare and submit proposed Findings of Fact and Conclusions of Law to the NEVADA OCCUPATIONAL SAFETY AND HEALTH REVIEW BOARD and serve copies on opposing counsel within twenty (20) days from date of decision. After five (5) days time for filing any objection, the final Findings of Fact and Conclusions of Law shall be submitted to the NEVADA OCCUPATIONAL SAFETY AND HEALTH REVIEW BOARD by prevailing counsel. Service of the Findings of Fact and Conclusions of Law signed by the Chairman of the NEVADA OCCUPATIONAL SAFETY AND HEALTH REVIEW BOARD shall constitute the Final Order of the BOARD.

DATED: This 11th day of September 2015.

NEVADA OCCUPATIONAL SAFETY AND HEALTH REVIEW BOARD

/s/ JOE ADAMS, CHAIRMAN