

U.S. Department of Labor
Occupational Safety and Health Administration
701 Lee Street
Suite 950
Des Plaines, IL 60016



Citation and Notification of Penalty

To:
Northwestern University
and its successors
2020 Ridge Avenue
Suite 240
Evanston, IL 60208

Inspection Site:
2170 Campus Dr.
Evanston, IL 60201

Inspection Number: 1438694
Inspection Date(s): 10/11/2019 - 03/30/2020
Issuance Date: 04/01/2020

The violation(s) described in this Citation and Notification of Penalty is (are) alleged to have occurred on or about the day(s) the inspection was made unless otherwise indicated within the description given below.

This Citation and Notification of Penalty (this Citation) describes violations of the Occupational Safety and Health Act of 1970. The penalty(ies) listed herein is (are) based on these violations. You must abate the violations referred to in this Citation by the dates listed and pay the penalties proposed, unless within 15 working days (excluding weekends and Federal holidays) from your receipt of this Citation and Notification of Penalty **you either call to schedule an informal conference (see paragraph below) or** you mail a notice of contest to the U.S. Department of Labor Area Office at the address shown above. Please refer to the enclosed booklet (OSHA 3000) which outlines your rights and responsibilities and which should be read in conjunction with this form. Issuance of this Citation does not constitute a finding that a violation of the Act has occurred unless there is a failure to contest as provided for in the Act or, if contested, unless this Citation is affirmed by the Review Commission or a court.

Posting - The law requires that a copy of this Citation and Notification of Penalty be posted immediately in a prominent place at or near the location of the violation(s) cited herein, or, if it is not practicable because of the nature of the employer's operations, where it will be readily observable by all affected employees. This Citation must remain posted until the violation(s) cited herein has (have) been abated, or for 3 working days (excluding weekends and Federal holidays), whichever is longer.

Informal Conference - An informal conference is not required. However, if you wish to have such a conference you may request one with the Area Director during the 15 working day contest period by calling 847-227-1700. During such an informal conference you may present any evidence or views which you believe would

support an adjustment to the citation(s) and/or penalty(ies).

If you are considering a request for an informal conference to discuss any issues related to this Citation and Notification of Penalty, you must take care to schedule it early enough to allow time to contest after the informal conference, should you decide to do so. Please keep in mind that a written letter of intent to contest must be submitted to the Area Director within 15 working days of your receipt of this Citation. The running of this contest period is not interrupted by an informal conference.

If you decide to request an informal conference, please complete, remove and post the Notice to Employees next to this Citation and Notification of Penalty as soon as the time, date, and place of the informal conference have been determined. Be sure to bring to the conference any and all supporting documentation of existing conditions as well as any abatement steps taken thus far. If conditions warrant, we can enter into an informal settlement agreement which amicably resolves this matter without litigation or contest.

Right to Contest – You have the right to contest this Citation and Notification of Penalty. You may contest all citation items or only individual items. You may also contest proposed penalties and/or abatement dates without contesting the underlying violations. **Unless you inform the Area Director in writing that you intend to contest the citation(s) and/or proposed penalty(ies) within 15 working days after receipt, the citation(s) and the proposed penalty(ies) will become a final order of the Occupational Safety and Health Review Commission and may not be reviewed by any court or agency.**

Penalty Payment – Penalties are due within 15 working days of receipt of this notification unless contested. (See the enclosed booklet and the additional information provided related to the Debt Collection Act of 1982.) Make your check or money order payable to “DOL-OSHA”. Please indicate the Inspection Number on the remittance. You can also make your payment electronically on www.pay.gov. On the left side of the pay.gov homepage, you will see an option to Search Public Forms. Type "OSHA" and click Go. From the results, click on **OSHA Penalty Payment Form**. The direct link is:

<https://www.pay.gov/paygov/forms/formInstance.html?agencyFormId=53090334>.

You will be required to enter your inspection number when making the payment. Payments can be made by credit card or Automated Clearing House (ACH) using your banking information. Payments of \$25,000 or more require a Transaction ID, and also must be paid using ACH. If you require a Transaction ID, please contact the OSHA Debt Collection Team at (202) 693-2170.

OSHA does not agree to any restrictions or conditions or endorsements put on any check, money order, or electronic payment for less than the full amount due, and will process the payments as if these restrictions or conditions do not exist.

Notification of Corrective Action – For each violation which you do not contest, you must provide ***abatement certification*** to the Area Director of the OSHA office issuing the citation and identified above. This abatement certification is to be provided by letter within 10 calendar days after each abatement date. Abatement certification includes the date and method of abatement. If the citation indicates that the violation was corrected during the inspection, no abatement certification is required for that item. The abatement certification letter must be posted at the location where the violation appeared and the corrective action took place or employees must otherwise be effectively informed about abatement activities. A sample abatement certification letter is enclosed with this Citation. In addition, where the citation indicates that ***abatement documentation*** is necessary, evidence of the purchase or repair of equipment, photographs or video, receipts, training records, etc., verifying that abatement has occurred is required to be provided to the Area Director.

Employer Discrimination Unlawful – The law prohibits discrimination by an employer against an employee for filing a complaint or for exercising any rights under this Act. An employee who believes that he/she has been discriminated against may file a complaint no later than 30 days after the discrimination occurred with the U.S. Department of Labor Area Office at the address shown above.

Employer Rights and Responsibilities – The enclosed booklet (OSHA 3000) outlines additional employer rights and responsibilities and should be read in conjunction with this notification.

Notice to Employees – The law gives an employee or his/her representative the opportunity to object to any abatement date set for a violation if he/she believes the date to be unreasonable. The contest must be mailed to the U.S. Department of Labor Area Office at the address shown above and postmarked within 15 working days (excluding weekends and Federal holidays) of the receipt by the employer of this Citation and Notification of Penalty.

Inspection Activity Data – You should be aware that OSHA publishes information on its inspection and citation activity on the Internet under the provisions of the Electronic Freedom of Information Act. The information related to these alleged violations will be posted when our system indicates that you have received this citation. You are encouraged to review the information concerning your establishment at www.osha.gov. If you have any dispute with the accuracy of the information displayed, please contact this office.



NOTICE TO EMPLOYEES OF INFORMAL CONFERENCE

An informal conference has been scheduled with OSHA to discuss the citation(s) issued on 04/01/2020. The conference will be held by telephone or at the OSHA office located at 701 Lee Street, Suite 950, Des Plaines, IL 60016 on _____ at _____.

Employees and/or representatives of employees have a right to attend an informal conference.

CERTIFICATION OF CORRECTIVE ACTION WORKSHEET

Inspection Number: 1438694

Company Name: Northwestern University
Inspection Site: 2170 Campus Dr., Evanston, IL 60201
Issuance Date: 04/01/2020

List the specific method of correction for each item on this citation in this package that does not read "Corrected During Inspection" and return to: **U.S. Department of Labor – Occupational Safety and Health Administration, 701 Lee Street, Suite 950, Des Plaines, IL 60016**

Citation Number _____ and Item Number _____ was corrected on _____
By (Method of Abatement): _____

Citation Number _____ and Item Number _____ was corrected on _____
By (Method of Abatement): _____

Citation Number _____ and Item Number _____ was corrected on _____
By (Method of Abatement): _____

Citation Number _____ and Item Number _____ was corrected on _____
By (Method of Abatement): _____

Citation Number _____ and Item Number _____ was corrected on _____
By (Method of Abatement): _____

Citation Number _____ and Item Number _____ was corrected on _____
By (Method of Abatement): _____

I certify that the information contained in this document is accurate and that the affected employees and their representatives have been informed of the abatement.

Signature

Date

Typed or Printed Name

Title

NOTE: 29 USC 666(g) whoever knowingly makes any false statements, representation or certification in any application, record, plan or other documents filed or required to be maintained pursuant to the Act shall, upon conviction, be punished by a fine of not more than \$10,000 or by imprisonment of not more than 6 months or both.

POSTING: A copy of completed Corrective Action Worksheet should be posted for employee review



Citation and Notification of Penalty

Company Name: Northwestern University
Inspection Site: 2170 Campus Dr., Evanston, IL 60201

Citation 1 Item 1 Type of Violation: **Serious**

29 CFR 1910.146(c)(2): Where the workplace contained permit spaces, the employer did not inform exposed employees, by posting danger signs or by any other equally effective means, of the existence and location of and the danger posed by the permit spaces:

(a) On October 10, 2019, Northwestern University did not inform exposed employees by posting danger signs, or by any other equally effective means, that steam vaults 13, 14, and 15 on the Evanston Campus were permit-required confined spaces and that steam vaults 13, 14, and 15 posed dangers to entrants.

In accordance with 29 CFR 1903.19(d), abatement certification is required for this violation (using the CERTIFICATION OF CORRECTIVE ACTION WORKSHEET), and in addition, documentation demonstrating that abatement is complete must be included with your certification. This documentation may include, but is not limited to, evidence of the purchase or repair of the equipment, photographic or video evidence of abatement, or other written records.

Date By Which Violation Must be Abated: 04/29/2020
Proposed Penalty: \$12145.00



Citation and Notification of Penalty

Company Name: Northwestern University
Inspection Site: 2170 Campus Dr., Evanston, IL 60201

The alleged violations below have been grouped because they involve similar or related hazards that may increase the potential for injury or illness.

Citation 1 Item 2 a Type of Violation: **Serious**

29 CFR 1910.146(c)(8)(i): When an employer (host employer) arranged to have employees of another employer (contractor) perform work that involved permit space entry, the host employer did not inform the contractor that the workplace contained permit spaces and that permit space entry is allowed only through compliance with a permit space program meeting the requirements of 29 CFR 1910.146:

(a) On October 10, 2019, Northwestern University arranged to have two separate contractors (Hill Mechanical Corp. and National Heat & Power Corp.) perform work that involved permit space entry in steam vault 13 and did not inform the contractors that entry into steam vault 13 was allowed only through compliance with a permit space program that met OSHA's standard for permit-required confined space entry.

(b) On October 10, 2019, Northwestern University arranged to have two separate contractors (Hill Mechanical Corp. and National Heat & Power Corp.) perform work that involved permit space entry in steam vault 14 and did not inform the contractors that entry into steam vault 14 was allowed only through compliance with a permit space program that met OSHA's standard for permit-required confined space entry.

In accordance with 29 CFR 1903.19(d), abatement certification is required for this violation (using the CERTIFICATION OF CORRECTIVE ACTION WORKSHEET), and in addition, documentation demonstrating that abatement is complete must be included with your certification. This documentation may include, but is not limited to, evidence of the purchase or repair of the equipment, photographic or video evidence of abatement, or other written records.

Date By Which Violation Must be Abated: 04/29/2020
Proposed Penalty: \$12145.00

See pages 1 through 4 of this Citation and Notification of Penalty for information on employer and employee rights and responsibilities.



Citation and Notification of Penalty

Company Name: Northwestern University
Inspection Site: 2170 Campus Dr., Evanston, IL 60201

Citation 1 Item 2 b Type of Violation: **Serious**

29 CFR 1910.146(c)(8)(ii): When an employer (host employer) arranged to have employees of another employer (contractor) perform work that involved permit space entry, the host employer did not apprise the contractor of the elements, including the hazards identified and the host employer's experience with the space, that make the space in question a permit space:

(a) On October 10, 2019, Northwestern University arranged to have two separate contractors (Hill Mechanical Corp. and National Heat & Power Corp.) perform work that involved permit space entry in steam vault 13 and did not apprise the contractors of the elements that made steam vault 13 a permit space.

(b) On October 10, 2019, Northwestern University arranged to have two separate contractors (Hill Mechanical Corp. and National Heat & Power Corp.) perform work that involved permit space entry in steam vault 14 and did not apprise the contractors of the elements that made steam vault 14 a permit space.

In accordance with 29 CFR 1903.19(d), abatement certification is required for this violation (using the CERTIFICATION OF CORRECTIVE ACTION WORKSHEET), and in addition, documentation demonstrating that abatement is complete must be included with your certification. This documentation may include, but is not limited to, evidence of the purchase or repair of the equipment, photographic or video evidence of abatement, or other written records.

Date By Which Violation Must be Abated:

04/29/2020



Citation and Notification of Penalty

Company Name: Northwestern University
Inspection Site: 2170 Campus Dr., Evanston, IL 60201

Citation 1 Item 2 c Type of Violation: **Serious**

29 CFR 1910.146(c)(8)(iii): When an employer (host employer) arranged to have employees of another employer (contractor) perform work that involved permit space entry, the host employer did not apprise the contractor of any precautions or procedures that the host employer had implemented for the protection of employees in or near permit spaces where contractor personnel would be working:

- (a) On October 10, 2019, Northwestern University arranged to have two separate contractors (Hill Mechanical Corp. and National Heat & Power Corp.) perform work that involved permit space entry in steam vault 13 and did not apprise the contractors of precautions and procedures dealing with topics such as adequate isolation of the steam hazard, testing and monitoring of the potentially hazardous atmosphere, the permit system, non-entry rescue, and rescue and emergency services.
- (b) On October 10, 2019, Northwestern University arranged to have two separate contractors (Hill Mechanical Corp. and National Heat & Power Corp.) perform work that involved permit space entry in steam vault 14 and did not apprise the contractors of precautions and procedures dealing with topics such as adequate isolation of the steam hazard, testing and monitoring of the potentially hazardous atmosphere, the permit system, non-entry rescue, and rescue and emergency services.

In accordance with 29 CFR 1903.19(d), abatement certification is required for this violation (using the CERTIFICATION OF CORRECTIVE ACTION WORKSHEET), and in addition, documentation demonstrating that abatement is complete must be included with your certification. This documentation may include, but is not limited to, evidence of the purchase or repair of the equipment, photographic or video evidence of abatement, or other written records.

Date By Which Violation Must be Abated:

04/29/2020



Citation and Notification of Penalty

Company Name: Northwestern University
Inspection Site: 2170 Campus Dr., Evanston, IL 60201

Citation 1 Item 2 d Type of Violation: **Serious**

29 CFR 1910.146(c)(8)(iv): When an employer (host employer) arranged to have employees of another employer (contractor) perform work that involved permit space entry, the host employer did not coordinate entry operations with the contractor, when both host employer personnel and contractor personnel would be working in or near permit spaces:

(a) On October 10, 2019, Northwestern University arranged for contractor Hill Mechanical Corp. to perform work that involved permit space entry in steam vault 13 and did not coordinate entry operations with the contractors when the host employer's personnel were also involved in the permit space entry.

In accordance with 29 CFR 1903.19(d), abatement certification is required for this violation (using the CERTIFICATION OF CORRECTIVE ACTION WORKSHEET), and in addition, documentation demonstrating that abatement is complete must be included with your certification. This documentation may include, but is not limited to, evidence of the purchase or repair of the equipment, photographic or video evidence of abatement, or other written records.

Date By Which Violation Must be Abated:

04/29/2020



Citation and Notification of Penalty

Company Name: Northwestern University
Inspection Site: 2170 Campus Dr., Evanston, IL 60201

Citation 1 Item 2 e Type of Violation: **Serious**

29 CFR 1910.146(d)(11): Under the permit space program required by 29 CFR 1910.146(c)(4), the employer did not develop and implement procedures to coordinate entry operations when employees of more than one employer were working simultaneously as authorized entrants in a permit space, so that employees of one employer do not endanger the employees of any other employer:

(a) On October 10, 2019, Northwestern University did not develop and implement procedures to coordinate entry operations with a contractor for entry into steam vault 13, which involved an entry by a Northwestern University employee and an entry by a Hill Mechanical Corp. employee for the purpose of observing a steam leak and evaluating valve configuration.

In accordance with 29 CFR 1903.19(d), abatement certification is required for this violation (using the CERTIFICATION OF CORRECTIVE ACTION WORKSHEET), and in addition, documentation demonstrating that abatement is complete must be included with your certification. This documentation may include, but is not limited to, evidence of the purchase or repair of the equipment, photographic or video evidence of abatement, or other written records.

Date By Which Violation Must be Abated:

04/29/2020



Citation and Notification of Penalty

Company Name: Northwestern University
Inspection Site: 2170 Campus Dr., Evanston, IL 60201

Citation 1 Item 3 Type of Violation: **Serious**

29 CFR 1910.146(d)(2): Under the permit space program required by 29 CFR 1910.146(c)(4), the employer did not identify and evaluate the hazards of permit spaces before employees entered them:

(a) On October 10, 2019, Northwestern University had not identified and evaluated the hazards associated with high-pressure steam in steam vaults such as steam vault 13, 14, and 15 before employees entered on October 10, 2019. The employer's confined space assessments for these spaces did not include the hazard posed by high-pressure steam.

In accordance with 29 CFR 1903.19(d), abatement certification is required for this violation (using the CERTIFICATION OF CORRECTIVE ACTION WORKSHEET), and in addition, documentation demonstrating that abatement is complete must be included with your certification. This documentation may include, but is not limited to, evidence of the purchase or repair of the equipment, photographic or video evidence of abatement, or other written records.

Date By Which Violation Must be Abated: 04/29/2020
Proposed Penalty: \$12145.00



Citation and Notification of Penalty

Company Name: Northwestern University
Inspection Site: 2170 Campus Dr., Evanston, IL 60201

The alleged violations below have been grouped because they involve similar or related hazards that may increase the potential for injury or illness.

Citation 1 Item 4 a Type of Violation: **Serious**

29 CFR 1910.146(d)(3)(iii): Under the permit space program required by 29 CFR 1910.146(c)(4), the employer did not develop and implement the means, procedures, and practices necessary for safe permit space entry operations, including, but not limited to, isolating the permit space:

- (a) On October 10, 2019, Northwestern University did not develop and implement the means, procedures, and practices necessary to isolate steam vault 13 from the hazard posed by high-pressure steam prior to separate entries by a Northwestern University employee for (1) the observation of a steam leak and the evaluation of valve configuration and (2) the actuation (closure) of a valve.
- (b) On October 10, 2019, Northwestern University did not develop and implement the means, procedures, and practices necessary to isolate steam vault 14 from the hazard posed by high-pressure steam prior to an entry by a Northwestern University employee for the retrieval of a broken part and the evaluation of the need for repairs.
- (c) On October 10, 2019, Northwestern University did not develop and implement the means, procedures, and practices necessary to isolate steam vault 15 from the hazard posed by high-pressure steam prior to two separate entries by Northwestern University employees for the actuation (closing and opening) of a valve.

In accordance with 29 CFR 1903.19(d), abatement certification is required for this violation (using the CERTIFICATION OF CORRECTIVE ACTION WORKSHEET), and in addition, documentation demonstrating that abatement is complete must be included with your certification. This documentation may include, but is not limited to, evidence of the purchase or repair of the equipment, photographic or video evidence of abatement, or other written records.

Date By Which Violation Must be Abated: 04/29/2020
Proposed Penalty: \$12145.00

See pages 1 through 4 of this Citation and Notification of Penalty for information on employer and employee rights and responsibilities.



Citation and Notification of Penalty

Company Name: Northwestern University
Inspection Site: 2170 Campus Dr., Evanston, IL 60201

Citation 1 Item 4 b Type of Violation: **Serious**

29 CFR 1910.146(d)(3)(vi): Under the permit space program required by 29 CFR 1910.146(c)(4), the employer did not develop the means, procedures, and practices necessary for safe permit space entry operations, including, but not limited to, verifying that conditions in the permit space are acceptable for entry throughout the duration of an authorized entry:

- (a) On October 10, 2019, Northwestern University did not develop and implement the means, procedures, and practices necessary for verifying acceptable conditions related to high-pressure steam and potential atmospheric hazards in steam vault 13 prior to separate entries by a Northwestern University employee for (1) the observation of a steam leak and the evaluation of valve configuration and (2) the actuation (closure) of a valve.
- (b) On October 10, 2019, Northwestern University did not develop and implement the means, procedures, and practices necessary for verifying acceptable conditions related to high-pressure steam and potential atmospheric hazards in steam vault 14 prior to an entry by a Northwestern University employee for the retrieval of a broken part and the evaluation of the need for repairs.
- (c) On October 10, 2019, Northwestern University did not develop and implement the means, procedures, and practices necessary for verifying acceptable conditions related to high pressure steam and potential atmospheric hazards in steam vault 15 prior to two separate entries by Northwestern University employees for the actuation (closing and opening) of a valve.

In accordance with 29 CFR 1903.19(d), abatement certification is required for this violation (using the CERTIFICATION OF CORRECTIVE ACTION WORKSHEET), and in addition, documentation demonstrating that abatement is complete must be included with your certification. This documentation may include, but is not limited to, evidence of the purchase or repair of the equipment, photographic or video evidence of abatement, or other written records.

Date By Which Violation Must be Abated:

04/29/2020



Citation and Notification of Penalty

Company Name: Northwestern University
Inspection Site: 2170 Campus Dr., Evanston, IL 60201

Citation 1 Item 5 Type of Violation: **Serious**

29 CFR 1910.146(d)(5)(i): Under the permit space program required by 29 CFR 1910.146(c)(4), the employer did not evaluate permit space conditions when entry operations were conducted by testing conditions in the permit space to determine if acceptable entry conditions existed before entry was authorized to begin:

- (a) On October 10, 2019, Northwestern University did not test atmospheric conditions in steam vault 13 for the potential atmospheric hazards identified by the employer (such as oxygen deficiency, hydrogen sulfide, and carbon monoxide) prior to separate entries by a Northwestern University employee for (1) the observation of a steam leak and the evaluation of valve configuration and (2) the actuation (closure) of a valve.
- (b) On October 10, 2019, Northwestern University did not test atmospheric conditions in steam vault 15 for the potential atmospheric hazards identified by the employer (such as oxygen deficiency, hydrogen sulfide, and carbon monoxide) prior to an entry by a Northwestern University employee for the actuation (closure) of a valve.

In accordance with 29 CFR 1903.19(d), abatement certification is required for this violation (using the CERTIFICATION OF CORRECTIVE ACTION WORKSHEET), and in addition, documentation demonstrating that abatement is complete must be included with your certification. This documentation may include, but is not limited to, evidence of the purchase or repair of the equipment, photographic or video evidence of abatement, or other written records.

Date By Which Violation Must be Abated:
Proposed Penalty:

04/29/2020
\$8675.00



Citation and Notification of Penalty

Company Name: Northwestern University
Inspection Site: 2170 Campus Dr., Evanston, IL 60201

Citation 1 Item 6 Type of Violation: **Serious**

29 CFR 1910.146(d)(14): Under the permit space program required by 29 CFR 1910.146(c)(4), the employer did not review the permit space program, using the canceled permits retained under 29 CFR 1910.146(e)(6) within 1 year after each entry and revise the program as necessary, to ensure that employees participating in entry operations are protected from permit space hazards:

(a) On October 10, 2019, Northwestern University had not reviewed their permit-required confined space program, using cancelled permits, to ensure that employees performing permit-required confined space entries were protected from permit-required confined space hazards.

In accordance with 29 CFR 1903.19(d), abatement certification is required for this violation (using the CERTIFICATION OF CORRECTIVE ACTION WORKSHEET), and in addition, documentation demonstrating that abatement is complete must be included with your certification. This documentation may include, but is not limited to, evidence of the purchase or repair of the equipment, photographic or video evidence of abatement, or other written records.

Date By Which Violation Must be Abated:
Proposed Penalty:

04/29/2020
\$12145.00



Citation and Notification of Penalty

Company Name: Northwestern University
Inspection Site: 2170 Campus Dr., Evanston, IL 60201

Citation 1 Item 7 Type of Violation: **Serious**

29 CFR 1910.146(e)(1): Before entry was authorized, the employer did not document the completion of measures required by 29 CFR 1910.146(d)(3) by preparing an entry permit:

- (a) On October 10, 2019, Northwestern University did not prepare and complete entry permits for steam vault 13 prior to separate entries by a Northwestern University employee for (1) the observation of a steam leak and the evaluation of valve configuration and (2) the actuation (closure) of a valve.
- (b) On October 10, 2019, Northwestern University did not prepare and complete an entry permit for steam vault 14 prior to an entry by a Northwestern University employee for the retrieval of a broken part and the evaluation of the need for repairs.
- (c) On October 10, 2019, Northwestern University did not prepare and complete an entry permit for steam vault 15 prior to an entry by a Northwestern University employee for the actuation (closure) of a valve.

In accordance with 29 CFR 1903.19(d), abatement certification is required for this violation (using the CERTIFICATION OF CORRECTIVE ACTION WORKSHEET), and in addition, documentation demonstrating that abatement is complete must be included with your certification. This documentation may include, but is not limited to, evidence of the purchase or repair of the equipment, photographic or video evidence of abatement, or other written records.

Date By Which Violation Must be Abated: 04/29/2020
Proposed Penalty: \$12145.00

See pages 1 through 4 of this Citation and Notification of Penalty for information on employer and employee rights and responsibilities.



Citation and Notification of Penalty

Company Name: Northwestern University
Inspection Site: 2170 Campus Dr., Evanston, IL 60201

The alleged violations below have been grouped because they involve similar or related hazards that may increase the potential for injury or illness.

Citation 1 Item 8 a Type of Violation: **Serious**

29 CFR 1910.146(k)(1)(i): When designating rescue and emergency services pursuant to 29 CFR 1910.146(d)(9), the employer did not evaluate the prospective rescuer's ability to respond to a rescue summons in a timely manner, considering the hazard(s) identified:

(a) On October 10, 2019, Northwestern University had not evaluated the Evanston Fire Department's ability to respond to a rescue summons in a timely manner for steam vaults 13, 14, and 15 prior to entry into those spaces.

In accordance with 29 CFR 1903.19(d), abatement certification is required for this violation (using the CERTIFICATION OF CORRECTIVE ACTION WORKSHEET), and in addition, documentation demonstrating that abatement is complete must be included with your certification. This documentation may include, but is not limited to, evidence of the purchase or repair of the equipment, photographic or video evidence of abatement, or other written records.

Date By Which Violation Must be Abated:	04/29/2020
Proposed Penalty:	\$12145.00



Citation and Notification of Penalty

Company Name: Northwestern University
Inspection Site: 2170 Campus Dr., Evanston, IL 60201

Citation 1 Item 8 b Type of Violation: **Serious**

29 CFR 1910.146(k)(1)(iv): When designating rescue and emergency services pursuant to 29 CFR 1910.146(d)(9), the employer did not inform each rescue team or service of the hazards they may confront when called on to perform rescue at the site:

(a) On October 10, 2019, Northwestern University had not informed the Evanston Fire Department of the hazards associated with steam vaults 13, 14, and 15 prior to entry into those spaces.

In accordance with 29 CFR 1903.19(d), abatement certification is required for this violation (using the CERTIFICATION OF CORRECTIVE ACTION WORKSHEET), and in addition, documentation demonstrating that abatement is complete must be included with your certification. This documentation may include, but is not limited to, evidence of the purchase or repair of the equipment, photographic or video evidence of abatement, or other written records.

Date By Which Violation Must be Abated:

04/29/2020



Citation and Notification of Penalty

Company Name: Northwestern University
Inspection Site: 2170 Campus Dr., Evanston, IL 60201

Citation 1 Item 8 c Type of Violation: **Serious**

29 CFR 1910.146(k)(1)(v): When designating rescue and emergency services pursuant to 29 CFR 1910.146(d)(9), the employer did not provide the rescue team or service selected with access to all permit spaces from which rescue may be necessary so that the rescue service could develop appropriate rescue plans and practice rescue operations:

(a) On October 10, 2019, Northwestern University had not provided the Evanston Fire Department with access to steam vaults 13, 14, and 15 for rescue planning and practice prior to entry into those spaces.

In accordance with 29 CFR 1903.19(d), abatement certification is required for this violation (using the CERTIFICATION OF CORRECTIVE ACTION WORKSHEET), and in addition, documentation demonstrating that abatement is complete must be included with your certification. This documentation may include, but is not limited to, evidence of the purchase or repair of the equipment, photographic or video evidence of abatement, or other written records.

Date By Which Violation Must be Abated:

04/29/2020



Citation and Notification of Penalty

Company Name: Northwestern University
Inspection Site: 2170 Campus Dr., Evanston, IL 60201

Citation 1 Item 9 Type of Violation: **Serious**

29 CFR 1910.146(k)(3): To facilitate non-entry rescue, retrieval systems or methods were not used whenever an authorized entrant entered a permit space:

(a) On October 10, 2019, Northwestern University did not utilize a non-entry rescue retrieval system at steam vault 13 prior to separate entries by a Northwestern University employee for (1) the observation of a steam leak and the evaluation of valve configuration and (2) the actuation (closure) of a valve.

(b) On October 10, 2019, Northwestern University did not utilize a non-entry rescue retrieval system at steam vault 15 prior to an entry by a Northwestern University employee for the actuation (closure) of a valve.

In accordance with 29 CFR 1903.19(d), abatement certification is required for this violation (using the CERTIFICATION OF CORRECTIVE ACTION WORKSHEET), and in addition, documentation demonstrating that abatement is complete must be included with your certification. This documentation may include, but is not limited to, evidence of the purchase or repair of the equipment, photographic or video evidence of abatement, or other written records.

Date By Which Violation Must be Abated:
Proposed Penalty:

04/29/2020
\$12145.00

Angeline Loftus
Area Director

U.S. Department of Labor
Occupational Safety and Health Administration
701 Lee Street
Suite 950
Des Plaines, IL 60016



INVOICE / DEBT COLLECTION NOTICE

Company Name: Northwestern University
Inspection Site: 2170 Campus Dr., Evanston, IL 60201
Issuance Date: 04/01/2020

Summary of Penalties for Inspection Number	1438694
Citation 1, Serious	\$105835.00
TOTAL PROPOSED PENALTIES	\$105835.00

To avoid additional charges, please remit payment promptly to this Area Office for the total amount of the uncontested penalties summarized above. Make your check or money order payable to: "DOL-OSHA". Please indicate OSHA's Inspection Number (indicated above) on the remittance. You can also make your payment electronically on www.pay.gov. On the left side of the pay.gov homepage, you will see an option to Search Public Forms. Type "OSHA" and click Go. From the results, click on **OSHA Penalty Payment Form**. The direct link is <https://www.pay.gov/paygov/forms/formInstance.html?agencyFormId=53090334>. You will be required to enter your inspection number when making the payment. Payments can be made by credit card or Automated Clearing House (ACH) using your banking information. Payments of \$25,000 or more require a Transaction ID, and also must be paid using ACH. If you require a Transaction ID, please contact the OSHA Debt Collection Team at (202) 693-2170.

OSHA does not agree to any restrictions or conditions or endorsements put on any check, money order, or electronic payment for less than the full amount due, and will cash the check or money order as if these restrictions or conditions do not exist.

If a personal check is issued, it will be converted into an electronic fund transfer (EFT). This means that our bank will copy your check and use the account information on it to electronically debit your account for the amount of the check. The debit from your account will then usually occur within 24 hours and will be shown on your regular account statement. You will not receive your original check back. The bank will destroy your original check, but will keep a copy of it. If the EFT cannot be completed because of insufficient funds or closed account, the bank will attempt to make the transfer up to 2 times.

Pursuant to the Debt Collection Act of 1982 (Public Law 97-365) and regulations of the U.S. Department of Labor (29 CFR Part 20), the Occupational Safety and Health Administration is required to assess interest, delinquent charges, and administrative costs for the collection of delinquent penalty debts for violations of the Occupational Safety and Health Act.

Interest: Interest charges will be assessed at an annual rate determined by the Secretary of the Treasury on all penalty debt amounts not paid within one month (30 calendar days) of the date on which the debt amount becomes due and payable (penalty due date). The current interest rate is two percent (2%). Interest will accrue from the date on which the penalty amounts (as proposed or adjusted) become a final order of the Occupational Safety and Health Review Commission (that is, 15 working days from your receipt of the Citation and Notification of Penalty), unless you file a notice of contest. Interest charges will be waived if the full amount owed is paid within 30 calendar days of the final order.

Delinquent Charges: A debt is considered delinquent if it has not been paid within one month (30 calendar days) of the penalty due date or if a satisfactory payment arrangement has not been made. If the debt remains delinquent for more than 90 calendar days, a delinquent charge of six percent (6%) per annum will be assessed accruing from the date that the debt became delinquent.

Administrative Costs: Agencies of the Department of Labor are required to assess additional charges for the recovery of delinquent debts. These additional charges are administrative costs incurred by the Agency in its attempt to collect an unpaid debt. Administrative costs will be assessed for demand letters sent in an attempt to collect the unpaid debt.

Angeline Loftus
Area Director

Date