

**U.S. Department of Labor**  
Occupational Safety and Health Administration  
701 Lee Street  
Suite 950  
Des Plaines, IL 60016  
Phone: 847-803-4800 Fax: 847-390-8220



## Citation and Notification of Penalty

**To:**  
Mike Neri Sewer & Water Contractor  
and its successors  
1230 Dover Lane  
Elk Grove Village, IL 60007

**Inspection Number:** 666698  
**Inspection Date(s):** 10/03/2012 - 03/22/2013  
**Issuance Date:** 04/02/2013

**Inspection Site:**  
1750 Elmhurst Rd.  
Des Plaines, IL 60018

*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 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. 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.

OSHA does not agree to any restrictions or conditions or endorsements put on any check or money order for less than the full amount due, and will cash the check or money order as if these restrictions, conditions, or endorsements 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](http://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 04/02/2013. The conference will be held 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: 666698**

Company Name: Mike Neri Sewer & Water Contractor  
Inspection Site: 1750 Elmhurst Rd., Des Plaines, IL 60018  
Issuance Date: 04/02/2013

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:** Mike Neri Sewer & Water Contractor  
**Inspection Site:** 1750 Elmhurst Rd., Des Plaines, IL 60018

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

29 CFR 1926.651(h)(1): Employees were working in excavations in which there was accumulated water, or excavations in which water was accumulating, and adequate precautions had not been taken to protect employees against the hazards posed by water accumulation:

a) On October 3, 2012, the employer did not protect employees working in a trench up to approximately 7.1 feet in depth against the hazards related to water accumulation.

In accordance with 29 CFR 1903.19(c), abatement certification is required for this violation (using the CERTIFICATION OF CORRECTIVE ACTION WORKSHEET).

Date By Which Violation Must be Abated:  
Proposed Penalty:

04/12/2013  
\$2,200.00



**Citation and Notification of Penalty**

**Company Name:** Mike Neri Sewer & Water Contractor  
**Inspection Site:** 1750 Elmhurst Rd., Des Plaines, IL 60018

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**Citation 2 Item 1** Type of Violation: **Willful**

29 CFR 1926.651(j)(2): Protection is not provided by placing and keeping excavated or other materials or equipment at least 2 feet (.61m) from the edge of excavations, or by the use of retaining devices that were sufficient to prevent materials or equipment from falling or rolling into excavations, or by a combination of both if necessary:

The employer does not protect each employee in its excavations from the hazards of falling or rolling materials placed at the edge of the excavation by the use of retaining devices or other necessary means.

a) This most recently occurred on October 3, 2012, at 1750 Elmhurst Rd., Des Plaines, Illinois. Employees are exposed to struck-by hazards from material falling or rolling into the trench while installing a protective sleeve on an existing water main.

To abate this hazard in the future, the employer must ensure that materials and equipment are kept at least 2 feet from the edge of an excavation or that retaining devices are in place.

This employer has been cited for this practice that included: Mike Neri Sewer & Water Contractor, was previously cited for a violation of this occupational safety and health standard or its equivalent standard 29 CFR 1926.651(j)(2) which was contained in OSHA violation number 312730864, citation 1, item 4, issued on November 20, 2009, and became final order on or about December 3, 2009, with respect to a workplace located at 39 Mill St., Montgomery, IL 60538, and OSHA violation number 315157982, citation 3, item 1, issued on July 7, 2011, and became final order on or about March 29, 2013, with respect to a workplace located at 9945 W. 55th St., Countryside, IL 60525.

Pursuant to 29 CFR 1903.19, the employer must submit documents describing the steps it is taking to ensure compliance, including an explanation of how these steps protect its employees from excavation cave-ins.

Date By Which Violation Must be Abated:	04/08/2013
Proposed Penalty:	\$30,800.00

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:** Mike Neri Sewer & Water Contractor  
**Inspection Site:** 1750 Elmhurst Rd., Des Plaines, IL 60018

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Citation 2 Item 2 Type of Violation: **Willful**

29 CFR 1926.652(a)(1): Each employee in an excavation is not protected from cave-ins by an adequate protective system designed in accordance with 29 CFR 1926.652(b) or 1926.652(c):

The employer does not protect each employee in its excavations by properly sloping the excavation or by using appropriate protective systems designed in accordance with paragraphs (b) or (c) of 29 CFR 1926.652.

a) This most recently occurred on October 3, 2012, at 1750 Elmhurst Rd., Des Plaines, Illinois. Employees are exposed to cave-in hazards while installing a protective sleeve on an existing water main in a trench without cave-in protection that is up to approximately 7.1 feet in depth.

To abate this hazard in the future, the employer must ensure that its excavations are properly sloped, or that protective systems designed in accordance with this standard are used, and that no employees enter the excavations until protection is provided.

This employer has been cited for this practice that included: Mike Neri Sewer & Water Contractor, was previously cited for a violation of this occupational safety and health standard or its equivalent standard 29 CFR 1926.652(a)(1) which was contained in OSHA violation number 312730864, citation 1, item 6, issued on November 20, 2009, and became final order on or about December 3, 2009, with respect to a workplace located at 39 Mill St., Montgomery, IL 60538, and OSHA violation number 315157982, citation 2, item 1, issued on July 7, 2011, and became final order on or about March 29, 2013, with respect to a workplace located at 9945 W. 55th St., Countryside, IL 60525.

Pursuant to 29 CFR 1903.19, the employer must submit documents describing the steps it is taking to ensure compliance, including an explanation of how these steps protect its employees from excavation cave-ins.

**Date By Which Violation Must be Abated:**  
**Proposed Penalty:**

04/08/2013  
\$30,800.00

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:** Mike Neri Sewer & Water Contractor  
**Inspection Site:** 1750 Elmhurst Rd., Des Plaines, IL 60018

**Citation 2 Item 3** Type of Violation: **Willful**

29 CFR 1926.652(a)(1): Each employee in an excavation is not protected from cave-ins by an adequate protective system designed in accordance with 29 CFR 1926.652(b) or 1926.652(c):

The employer does not protect each employee in its excavations by properly sloping the excavation or by using appropriate protective systems designed in accordance with paragraphs (b) or (c) of 29 CFR 1926.652.

a) This most recently occurred on October 11, 2012, at 1750 Elmhurst Rd., Des Plaines, Illinois. Employees are exposed to cave-in hazards while installing a protective sleeve on an existing water main in a trench without cave-in protection that is up to approximately 6.8 feet in depth.

To abate this hazard in the future, the employer must ensure that its excavations are properly sloped, or that protective systems designed in accordance with this standard are used, and that no employees enter the excavations until protection is provided.

This employer has been cited for this practice that included: Mike Neri Sewer & Water Contractor, was previously cited for a violation of this occupational safety and health standard or its equivalent standard 29 CFR 1926.652(a)(1) which was contained in OSHA violation number 312730864, citation 1, item 6, issued on November 20, 2009, and became final order on or about December 3, 2009, with respect to a workplace located at 39 Mill St., Montgomery, IL 60538, and OSHA violation number 315157982, citation 2, item 1, issued on July 7, 2011, and became final order on or about March 29, 2013, with respect to a workplace located at 9945 W. 55th St., Countryside, IL 60525.

Pursuant to 29 CFR 1903.19, the employer must submit documents describing the steps it is taking to ensure compliance, including an explanation of how these steps protect its employees from excavation cave-ins.

**Date By Which Violation Must be Abated:**  
**Proposed Penalty:**

04/08/2013  
\$30,800.00

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:** Mike Neri Sewer & Water Contractor  
**Inspection Site:** 1750 Elmhurst Rd., Des Plaines, IL 60018

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

29 CFR 1926.20(b)(1): The employer does not initiate or maintain an accident prevention program(s) as may be necessary to comply with this part:

The employer does not initiate and maintain a safety and health program, which would address those hazards associated with the employees' work environment and the company's procedures to eliminate those hazards.

a) This most recently occurred on October 3, 2012, and October 11, 2012, at 1750 Elmhurst Rd., Des Plaines, Illinois, where the employer continues to work in trenches without having initiated a safety and health program. The employer does not instruct employees as to how to prevent accidents when working in trenches and exposed to cave-in hazards. Employees are exposed to cave-in hazards while installing a protective sleeve on an existing water main in a trench without cave-in protection and other hazards related to the employers work.

To abate this hazard in the future, the employer must develop, implement and maintain an effective safety and health program.

This employer has been cited for this practice that include: Mike Neri Sewer & Water Contractor, was previously cited for a violation of this occupational safety and health standard or its equivalent standard 29 CFR 1926.20(b)(1) which was contained in OSHA violation number 312730864, citation 1, item 1, issued on November 20, 2009, and became final order on or about December 3, 2009, with respect to a workplace located at 39 Mill St., Montgomery, IL 60538.

Pursuant to 29 CFR 1903.19, the employer must submit documents describing the steps it is taking to ensure compliance, including an explanation of how these steps protect its employees from excavation cave-ins.

**Date By Which Violation Must be Abated:**  
**Proposed Penalty:**

04/19/2013  
\$6,160.00

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:** Mike Neri Sewer & Water Contractor  
**Inspection Site:** 1750 Elmhurst Rd., Des Plaines, IL 60018

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**Citation 3 Item 2** Type of Violation: **Repeat**

29 CFR 1926.21(b)(2): The employer does not instruct each employee in the recognition and avoidance of unsafe condition(s) and the regulation(s) applicable to his/her work environment to control or eliminate any hazard(s) or other exposure to illness or injury:

The employer does not instruct each employee in the recognition and avoidance of unsafe conditions and the applicable regulations or how to control or eliminate any hazards associated with the work being performed.

a) This most recently occurred on October 3, 2012, and October 11, 2012, at 1750 Elmhurst Rd., Des Plaines, Illinois, where employees have not been instructed by the employer as to how to recognize or avoid unsafe conditions when working in a trench. Employees are exposed to cave-in hazards while installing a protective sleeve on an existing water main in a trench without cave-in protection and other hazards related to the employers work.

To abate this hazard in the future, the employer must develop, implement and maintain an effective safety and health training program for employees.

This employer has been cited for this practice that include: Mike Neri Sewer & Water Contractor, was previously cited for a violation of this occupational safety and health standard or its equivalent standard 29 CFR 1926.21(b)(2) which was contained in OSHA violation number 312730864, citation 1, item 2, issued on November 20, 2009, and became final order on or about December 3, 2009, with respect to a workplace located at 39 Mill St., Montgomery, IL 60538

Pursuant to 29 CFR 1903.19, the employer must submit documents describing the steps it is taking to ensure compliance, including an explanation of how these steps protect its employees from excavation cave-ins.

**Date By Which Violation Must be Abated:** 05/03/2013  
**Proposed Penalty:** \$6,160.00

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:** Mike Neri Sewer & Water Contractor  
**Inspection Site:** 1750 Elmhurst Rd., Des Plaines, IL 60018

**Citation 3 Item 3** Type of Violation: **Repeat**

29 CFR 1926.100(a): Employees working in areas where there is a possible danger of head injury from impact, or from falling or flying objects, or from electrical shock and burns, shall be protected by protective helmets:

The employer does not protect each employee in its excavation by requiring the employee to wear protective helmets when working in a trench where there is a possible danger of head injury from impact.

a) This most recently occurred on October 3, 2012, at 1750 Elmhurst Road, Des Plaines, Illinois. Employees are exposed to struck-by hazards from falling objects and are working in the trench without hard hats.

This employer has been cited for this practice that include: Mike Neri Sewer & Water Contractor, was previously cited for a violation of this occupational safety and health standard or its equivalent standard 29 CFR 1926.100(a) which was contained in OSHA violation number 312730864, citation 1, item 3, issued on November 20, 2009, and became final order on or about December 3, 2009, with respect to a workplace located at 39 Mill St., Montgomery, IL 60538.

No abatement certification or documentation is required for this item.

Date By Which Violation Must be Abated:  
Proposed Penalty:

Corrected During Inspection  
\$3,520.00

  
For **Diane M. Turek**  
Area Director

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

**U.S. Department of Labor**  
Occupational Safety and Health Administration  
701 Lee Street  
Suite 950  
Des Plaines, IL 60016  
Phone: 847-803-4800 Fax: 847-390-8220



## INVOICE / DEBT COLLECTION NOTICE

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**Company Name:** Mike Neri Sewer & Water Contractor  
**Inspection Site:** 1750 Elmhurst Rd., Des Plaines, IL 60018  
**Issuance Date:** 04/02/2013

<b>Summary of Penalties for Inspection Number</b>	<b>666698</b>
<b>Citation 1, Serious</b>	<b>\$2,200.00</b>
<b>Citation 2, Willful</b>	<b>\$92,400.00</b>
<b>Citation 3, Repeat</b>	<b>\$15,840.00</b>
<b>TOTAL PROPOSED PENALTIES</b>	<b>\$110,440.00</b>

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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.

OSHA does not agree to any restrictions or conditions or endorsements put on any check or money order 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 one percent (1%). 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.

  
For **Diane M. Turek**  
Area Director

April 1, 2013  
Date