OSHA INSTRUCTION

DIRECTIVE NUMBER: IRT 01-00-016	EFFECTIVE DATE: November 5, 2003

SUBJECT: The IMIS Whistleblower User's Guide

ABSTRACT

Purpose:	This Instruction transmits the Whistleblower User's Guide for use with the Occupational Safety and Health Administration's (OSHA) new Integrated Management Information System (IMIS) Redesign Whistleblower Web Application. The Guide provides step-by-step instructions and related guidance for offices OSHA-wide who process OSHA discrimination data using the Whistleblower application. This manual replaces OSHA Instruction IRT 01-00-012 (ADM 1-1.36), The Discrimination IMIS Manual for use with the NCR Microcomputer System, dated August 16, 1996.
Scope:	OSHA-wide.
References:	None
Cancellations:	OSHA Instruction IRT 01-00-012 (ADM 1-1.36), The Discrimination IMIS Manual for use with the NCR Microcomputer System, dated August 16, 1996.
State Impact:	This is a Federal Program Change that affects State programs. OSHA State Plan Enforcement offices are to adhere to the requirements in this Instruction.
Action Offices:	All Federal offices that investigate allegations of workplace discrimination under Section 11(c) of the Occupational Safety and Health Act and similar "whistleblower" statutes, and all 18(b) State programs that investigate allegations of workplace discrimination under their own State statutes.

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Executive Summary

This Instruction transmits a User's Guide containing detailed and step-by-step information for use with the new web-based Whistleblower application. The application supports the Office of Investigative Assistance by tracking a discrimination case from inception through final determination. The Discrimination Case Activity Worksheet (Form 87) contains data about the Case Type, Respondent, Complainant, Allegation, and Determination and Investigation Information. The new application captures the same basic data as the NCR collected

The new application:

1. Lists the open/pending cases specific for the Investigator for all Reporting Identification numbers (RIDs) assigned.
2. Captures the Form 87 data into the web IMIS Oracle Host database.
3. Links to the report generator.
4. Allows use of standard Windows functions for copying and pasting names and addresses from the application into any word processor for creating form letters and other documentation related to the case.

The User's Guide is a counterpart to the online help available while working with the Whistleblower application and to training provided by the Directorate of Information Technology (DIT).

Significant Changes

The web-based Whistleblower application is designed to simplify data entry, to make it easy to generate accurate reports and correspondence, and to reject invalid data. This User's Guide is organized to explain the application screen-by-screen in the order in which you might encounter the screens. The purpose, data elements, validation, special navigation, and business rules, if applicable, for each screen are described.

The new application does not include embedded form letter processing. Letter templates are maintained at the local office level and tailored to the specific needs of the Region, Area, or local office business practices. The ability to copy and paste using standard browser options is the mechanism for extracting and inserting data into locally developed templates.

Additionally:

- The new application is not tied to a specific word processing tool.
- Optional Information is now called Additional Information.
- Data is automatically saved when a new tab or new case is accessed. There is no "draft" version of the form's data.

Contents

List of Tables

Table Page

List of Figures

Figure Page

I. Purpose.

A. This Instruction transmits the IMIS Whistleblower User's Guide for use with OSHA's redesigned Whistleblower web application. The Guide provides step-by-step instructions and related guidance for OSHA-wide offices that process OSHA discrimination data using the Whistleblower application. The Guide contains:

- Detailed instructions for data entry of OSHA Form 87 using the Whistleblower application.
- An introduction to some of the available reports.
- Guidance on finding documentation that explains how to generate them.

B. The Whistleblower application is designed to simplify data entry, to make it easy to generate accurate reports and correspondence, and to reject invalid data. This User's Guide is organized to explain the application screen-by-screen in the order in which you might typically encounter the screens. It describes the purpose, data elements, validation, special navigation, and business rules if applicable, for each screen.

C. This Guide is a counterpart to the online help available when working with the Whistleblower application and to training provided by the Directorate of Information Technology (DIT).

II. Scope. This Instruction applies OSHA-wide.

III. References. There are no points of reference within this Instruction.

IV. Cancellations. This Instruction cancels OSHA Instruction ADM 1-1.36, The Discrimination IMIS Manual for use with the NCR Microcomputer System, dated August 16, 1996.

V. State Impact. This is a Federal Program Change that affects State programs. OSHA State Plan Enforcement offices are to adhere to the requirements in this Instruction.

VI. Significant Changes. The web-based Whistleblower application is designed to simplify data entry, to make it easy to generate accurate reports and correspondence, and to reject invalid data. This manual is organized to explain the application screen-by-screen in the order in which you might encounter the screens. Different or improved application features are as follows:

- You can access the system from any computer with an Internet connection.
- You do not need to memorize case numbers; the first screen displays all pending cases assigned to you.

- There are four levels of access (discussed in Section 2.5).
- There is no “draft” version.
- City and county codes are now set behind the scenes whenever an address is entered.
- Validation has been improved.
- The new system includes support for NAICS (SIC code replacement).
- The new system does not include embedded Form Letter processing.
- The new system allows you to use the word processing tool of your choice.
- The new system automatically saves the data when you select a new tab or new case.
- The system logs you off after 30 minutes of inactivity.
- Understandable English descriptions replace cryptic codes.
- Optional Information is now referred to as Additional Information.
- A central database and application allows bugs to be fixed quickly.
- Establishment Processing is not included in this version of Whistleblower. It will be implemented in a future version.

VII. Action Information.

A. **Responsible Office.** The DIT is responsible for all questions relating directly to the proper operation of the IMIS Discrimination application, including data entry forms, reports, hardware, and software. OSHA is responsible for all questions regarding the policies that govern each office’s use of the IMIS.

B. **Action Offices.** Action offices are all Federal offices that investigate allegations of workplace discrimination under Section 11c of the Occupational Safety and Health Act, similar “whistleblower” statutes, and all 18(b) State programs that investigate allegations of workplace discrimination under State statutes.

C. **Information Offices.** Information offices are Regional offices and State Designees.

CHAPTER 1

INTRODUCTION TO THE USER'S GUIDE

1.1 BACKGROUND

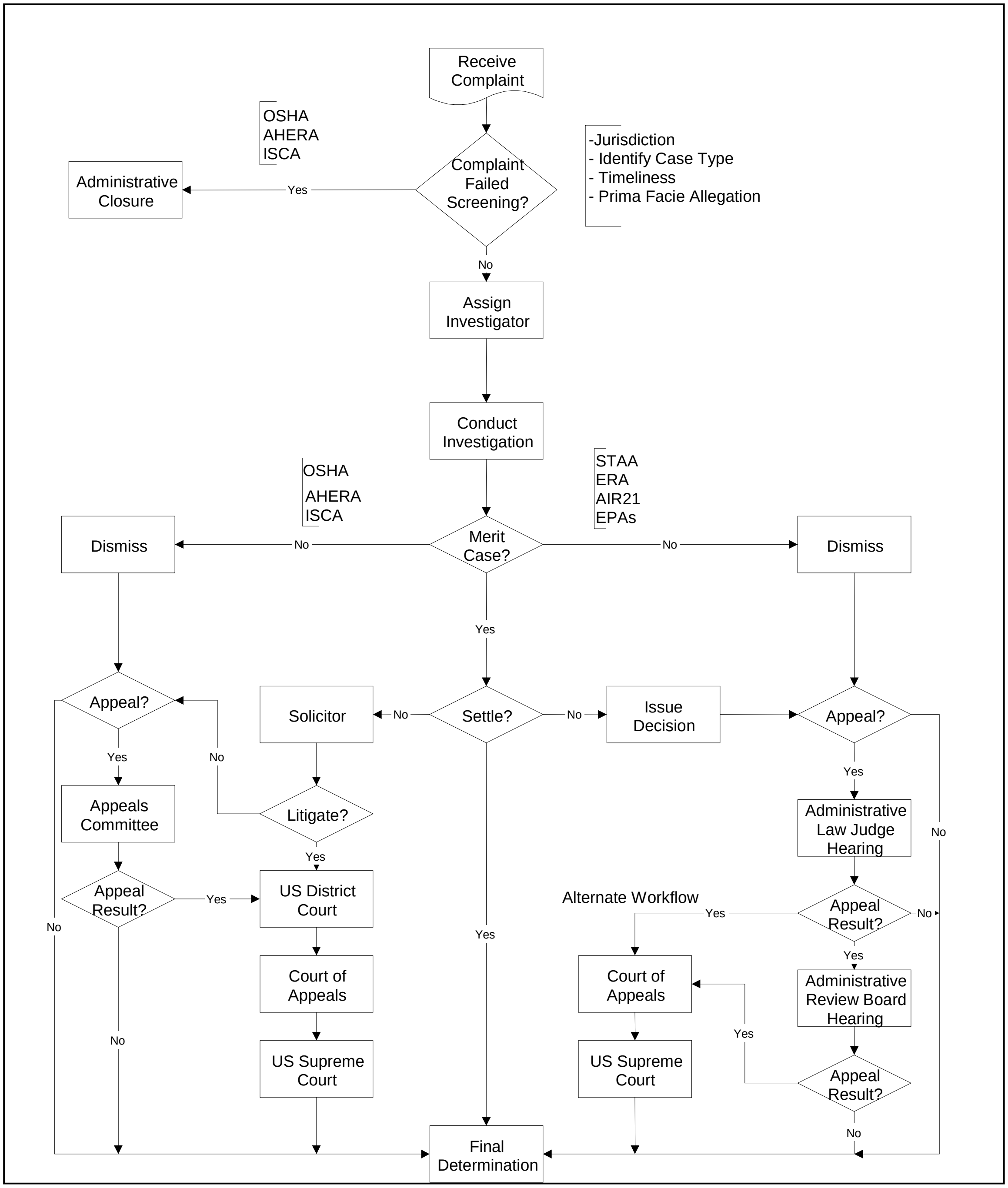
The Office of Investigative Assistance (OIA) is responsible for enforcing OSHA and 13 other Whistleblower statutes. Complaints are received at the Area Office (AO), which promptly transmits the complaints to the Regional Supervisory Investigator (RSI). Following an investigation, complaints that fall under OSHA's jurisdiction, Asbestos Hazard Emergency Response Act (AHERA), and International Safe Container Act (ISCA) that receive a merit determination and have not been settled or warrant review by the Department of labor Solicitor (SOL) are transmitted to the Regional SOL for evaluation. Filing of suit in appropriate courts is authorized as appropriate. The Appeals Committee will resolve litigation disputes between the Regional Administrator (RA) and Regional SOL. Complaints under other Whistleblower acts (i.e., Surface Transportation and Assistance Act (STAA), Energy Reorganization Act (ERA), and all of the environmental statutes) whether merit or non-merit, result in a Finding/Order being issued at the end of the investigation. The complainant and/or respondent may object to the finding and request a hearing before an Administrative Law Judge (ALJ). The ALJ hearing will result in a Recommended Finding and Order, which is automatically reviewed by the Administrative Review Board (ARB). The ARB issues a Final Secretary's Order, which can be appealed to the U.S. Court of Appeals.

The Web IMIS Whistleblower application currently accommodates the workflow selected by the Federal and State users choose. The two principal workflows are represented in Figure 1-1.

- OSHA, AHERA, ISCA followed by Federal users (left side of Figure 1-1).
- STAA, ERA, AIR21 and EPA (right side of Figure 1-1).

State users must decide which workflow to follow. The alternate workflow is noted in the lower-right of the workflow illustration. The initial Web IMIS Whistleblower implementation supports Federal and State users who follow the two principal workflows illustrated.

Figure 1-1: General Whistleblower Workflow



The Whistleblower application supports the Office of Investigative Assistance by tracking a case from inception through final determination. The Discrimination Case Activity Worksheet (Form 87) contains data about the Case Type, Respondent, Complainant, Allegation, and Determination and Investigation information. These data are captured in the Web IMIS Whistleblower application. The case may have multiple determinations for each complainant tracked based on investigative findings and legal procedures. The National, Regional and State offices analyze the data to determine trends and investigational effectiveness.

The Whistleblower application:

- Lists the open/pending cases specific for the Investigator for all Reporting Identification numbers (RIDs) assigned
- Captures Form 87 data into the Web IMIS Oracle Host
- Links to the report generator
- Allows you to copy and paste names and addresses from the application into a word processor of your choice to create form letters and other documentation related to the case.

Note: Form letters are not provided in the Whistleblower application. Multiple Form Letters are generated during the processing of the case. The letter templates are maintained at the local office level and tailored to the specific needs of the Region, Area or local office business practices. The ability to copy and paste using standard browser options is the mechanism for extracting and inserting data into these locally developed templates.

1.2 KEY TO SYMBOLS IN THIS MANUAL

The following icons are used in this Guide to clarify information presented:

This icon indicates a validation procedure. It appears to the right of a field description to indicate that there is validation. It appears to the left of the text explaining the validation.

This icon indicates special navigation. If a screen has a button that is not common to all screens, a paragraph accompanied by this icon will explain the special navigation.

1.3 SENSITIVE INFORMATION

While mostly a non-public access system, the Whistleblower application contains a limited amount of personal and/or privacy protected information that is not releasable to the public under the terms of the Freedom of Information Act (FOIA) and the Privacy Act of 1974. Sensitive information must be safeguarded against unauthorized disclosure. Some information contained in this system, if improperly safeguarded, could result in an unwarranted invasion of an individual's privacy. Therefore, maintaining the privacy of sensitive information processed via the Whistleblower application is an important security concern.

The following table outlines sensitive Whistleblower data to be protected from unauthorized disclosures, whether in electronic or paper format.

Table 1-1: Sensitive Information

Whistleblower Data	Data Element	Protected Under
Complainant Information:	First Name, Middle Name, Last Name, Salutation	FOIA
	Address	FOIA
	Phone	FOIA
	Title	FOIA
	Email	FOIA
Contact Information:	First Name, Middle Name, Last Name, Salutation	FOIA
	Position	FOIA
	Address	FOIA
	Phone	FOIA
	Email	FOIA
Case Summary	(May contain sensitive information on the Complainant.)	FOIA
CSHO ID	Investigator Identification	FOIA

The following are guidelines for handling sensitive Whistleblower information

- Reports, documents and other printed data that contain sensitive information should be immediately picked up from the printer.
- Hardcopy data and reports containing sensitive information should never be left unattended and should be secured in a locked office, desk, or cabinet.
- Hardcopy data containing sensitive information should be torn up or destroyed using shredding devices when no longer needed.

- Sensitive information sent through the mail or courier/messenger service should be delivered in sealed packaging marked “Sensitive Information, Designated Official Only” and include the name and address of the designated official.
- Spoiled media that contains sensitive information, including diskettes, tapes, and CD-ROMs should be destroyed by crushing, incinerating, shredding, or melting.
- Electronic media containing sensitive information should be sanitized according to IMIS Redesign Media Sanitization Procedures prior to being surplused or reused.
- A log should be maintained of all sensitive information provided to individuals outside the OSHA National Office or other Federal and State offices. The log should indicate when, what, why, and who received the sensitive information.
- Computer monitors should be faced away from open doors, windows, and heavily traveled areas where unauthorized users may be able to view sensitive information.

In support of OSHA’s goal of achieving GISRA Level 4 compliance, Whistleblower application users and support personnel should follow the above guidelines to support a secure operating environment and to protect the privacy of our constituents. If you have any questions, please contact the Helpdesk at 1-800-503-6742.

1.4 HELP FACILITIES

You must log in to IMIS with your user name and password to begin using the Whistleblower application. If you do not have a user name, contact your local IMIS security administrator to obtain one. If you don’t know who your local IMIS security administrator is, contact the Help Desk at 1-800-503-6742.

1.4.1 Help Desk Assistance – 1-800-503-6742

Help is available at (800) 503-OSHA (6742), Monday through Friday, from 7 a.m. to 8 p.m., Eastern Standard Time. To get the best, quickest assistance, be ready with the information listed below.

1.4.1.1 *Initial Call*

- Obtain the name of the person answering your call, and any other DIT staff you may be transferred to.
- Mention that you are calling regarding the Whistleblower application and provide your name, system number (i.e., N118, N208, F110, etc.), telephone number, and e-mail address, when appropriate. If you don’t know your system number, provide your office name and any other information requested to find your name in their database.
- Describe the problem as specifically as possible.
  a. Identify the system you are experiencing problems on (e.g., Whistleblower, PC, printer, etc.).

b. Identify the application you are working with (in this case, Whistleblower), which Whistleblower screen you are on, etc.
c. Explain what process you were trying to perform (add a complainant, save changes to a determination, log in, etc.).
d. Write down and clearly describe any system error messages
e. Indicate dates and frequency of problem.
f. List what you did to troubleshoot the problem or what steps the systems administrator took to resolve the issue.
g. Ask for a trouble report (TR) reference number from the Help Desk consultant or individual.

- If the IT Help Desk consultant advises you that someone will return your call or that the Help Desk will need to perform 2nd level research in reference to your problem, ask when and by whom your call will be returned.
- Document the above information.

Note: *Some problems may require additional time to resolve and it may be necessary for a client to perform a process in order to proceed or the call may be outside the scope of the Help Desk and escalated to another group within DIT for resolution (e.g., software problems, special audit reports, network related issues, hardware service call, etc.).*

1.4.1.2 *Follow-Up Call For Existing Problem*

After the initial call, wait one day and call the IT Help Desk again and ask for a status report. You will need to provide the following information:

a. The TR number.
b. A brief history of your problem.
c. The name of the Help Desk person who previously assisted you

Be sure to document the call.

1.4.1.3 *Call Escalation*

If your original problem is not moving toward resolution or if you feel that the service you have received is unsatisfactory, contact the Help Desk Supervisor, at 1-800-503-6742, with the following information:

a. TR #, site name, and system number.
b. Your name and phone number.
c. Brief history of problem or complaint.

1.4.1.4 *Supervisor Notification and Escalation*

If you feel that the IT Help Desk Supervisor has not addressed your original problem properly or it remains unresolved, ask your supervisor to contact Cheryle Greenaugh, the Director of Directorate of Information Technology directly at (202) 693-1818 or cheryle.greenaugh@dol.gov and provide the following information:

a. TR#, site name, and system number.
b. Point of contact and direct phone number.
c. Brief history of the problem.

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CHAPTER 2

GETTING STARTED

The following sections outline important information to prepare you to begin using the Whistleblower application.

2.1 SYSTEM REQUIREMENTS

- Connection to either OSHANet or the Internet.
- Internet Explorer 5.5 or Netscape 4.72 or above.

2.2 COMPARISON BETWEEN WHISTLEBLOWER WEB VERSION AND NCR VERSION

2.2.1 What's the Same

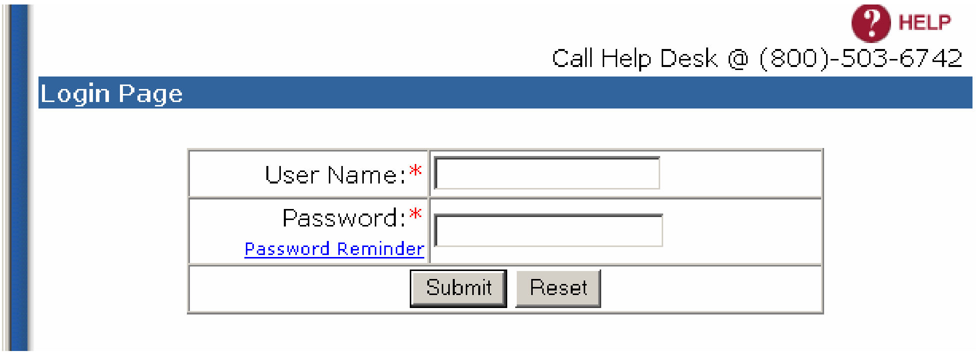
- The same data is collected. This information is used to manage the program and report to Congress.
- Only individuals authorized to access specific data can see the data.
- The case file is the official record for the case.
- There is no keystroke counter.

2.2.2 What's Different

- You can access the system from any computer with an Internet connection.
- You don't need to memorize case numbers; the first screen displays all of your pending cases.
- There are four levels of access (as discussed in Section 2.5).
- There is no "draft" version.
- City and county codes are set behind the scenes when an address is entered.
- Validation has been improved.
- The new system includes support for NAICS (SIC code replacement).
- The new system does not include embedded Form Letter processing.
- The new system allows you to use the word processing tool of your choice.
- The new system automatically saves the data when you select a new tab or new case.
- You will be logged off after 30 minutes of inactivity.
- Understandable English descriptions replace cryptic codes.
- Optional Information is now referred to as Additional Information.
- A central database and application allows bugs to be fixed quickly.
- Establishment Processing is not included in this version of Whistleblower. It will be implemented in a future version.

2.3 PROCEDURES FOR LOGGING INTO THE WHISTLEBLOWER APPLICATION

Figure 2-1: Whistleblower Log-in Screen



You must log in to IMIS on the Web to begin using the Whistleblower application. To log in, enter the user name and password issued to you. If you do not have a user name, contact your local IMIS administrator to obtain one. (If you don't know who your local IMIS security administrator is, contact the Help Desk.)

The Login screen includes a password reminder function tied to a security question and answer. Users that have a question and answer on file with the system may use this feature to have their password emailed to their IMIS Redesign email account. The question and answer is recorded on the Change Password screen. Users may add a question and answer at any time. The 90-day password expiration will force users to enter a question and answer before leaving the Change Password screen if they had not done so already.

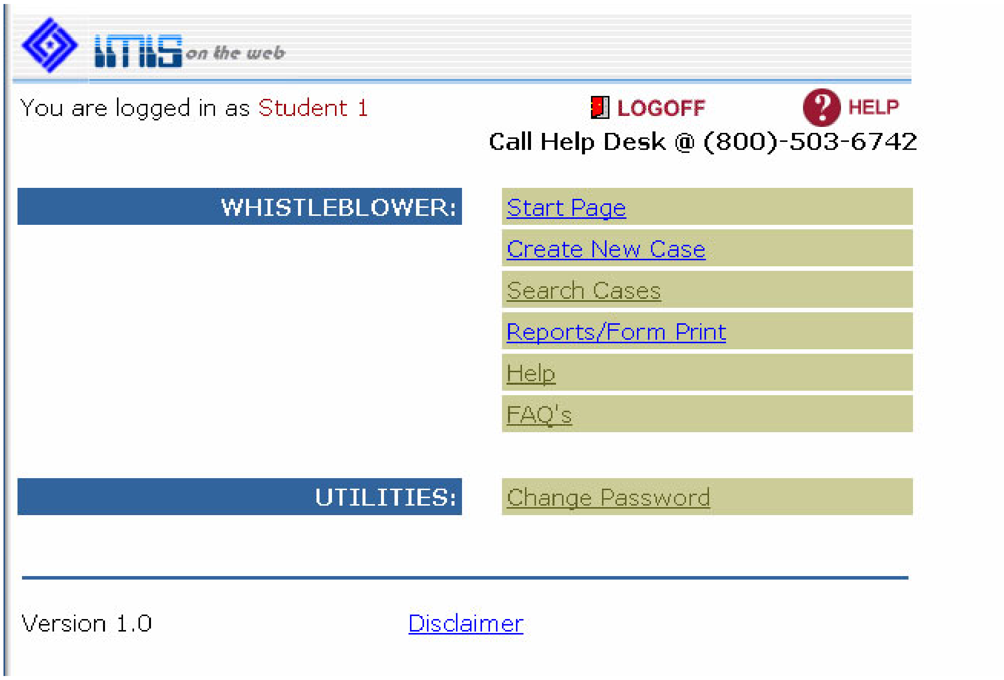
You are granted three attempts to log in to the application. If you try to log in unsuccessfully three times in a row, your local administrator must unlock your user name and reset your password. You must then change your password with your first log in after it is reset. User sessions expire after 30 minutes of inactivity and you must log in again.

2.4 IMIS START SCREEN

Once you log in, you see the IMIS start screen with a customized menu listing applications you can access based on your pre-assigned roles and privileges. The illustration below (Figure 2-2) lists only the Whistleblower and Utilities applications. Within the Whistleblower section, you may choose where you wish to go within the Whistleblower application.

Note the logoff link near the top right-hand corner. For security, you must log off before you close the browser, visit another web site, or leave your workstation.

Figure 2-2: IMIS Start Screen



2.5 ACCESS PRIVILEGES

There are four levels of user access that define the types of activities a user may perform within the application.

Table 2-1: Capabilities Associated with Each Access Level

	View Non-Final Cases	Update Cases	Create New Cases	Delete Cases
Level One	X	X	X	X
Level Two	X	X	X	
Level Three	X	X		
Level Four	X			

User privileges are associated with a specific Reporting Identification Number (RID). For example, you may have level one privileges in one RID and level three privileges in another. Level four is the default access level. Only levels one through three need to be specified. The local security administrator for the office/organization handles this function.

2.6 RULES OF BEHAVIOR

When you receive a user account for Whistleblower, you agree to abide by certain rules to safeguard the sensitive information the application handles. Users will be held accountable for all actions taken using their user name and password on OSHA's IMIS.

2.6.1 Unique User Name

You are accountable for all actions taken under your user name. This is a vital security measure to protect the sensitive information the system contains. The system creates an audit trail of user actions (e.g., case deletion, case creation, user deletion, user creation).

2.6.2 Security Measures

There are measures you can take to safeguard data, beginning with striving for total accuracy during data input. If you discover errors or bad data, correct the inaccurate data or notify supervisory personnel of its existence. Do not share sensitive or pre-released information, or your passwords or user names.

System privileges are authorized and assigned as necessary. Do not attempt unauthorized access, which would compromise the system. Instead, alert supervisory personnel and security of circumstances that may alter the basis for your access to the system, such as retirement, resignation, or transfer. Never use your user name to provide access for another person.

Be sure to follow OSHA IMIS System Security Plan and keep up with training. Some policies outlined in the plan include:

- Use password protected screen savers on local workstations that are set to activate after 7 minutes of inactivity.
- Use anti-virus software as required by OSHA policies.
- Ensure anti-virus software conducts scans daily.
- Ensure anti-virus software updates its virus definition file periodically.
- Ensure anti-virus software maintains a history of files scanned and viruses detected and deleted.
- Report any suspected "virus hoax" to the System Administrator.
- Contact the DIT Help Desk to reset your password or report suspected password compromise. Indicators of problems are:
  - You cannot log in.
  - You cannot connect to Business Object reports because your BO account is already in use.
  - You are not prompted to change your password in your first login to the system.

- You are not prompted to change your password in the first login to the system after a password reset.
- You cannot log in because your account is currently in use. [In this case, you may be trying to log in at a time when you are not logged off].

2.6.3 Passwords

You must change your password at least every 90 days. Some tips to help you change your password are:

- Use at least 8 characters.
- Include randomly upper-cased letters.
- Include randomly lower-cased letters.
- Include numbers.
- Include a symbol: _, or $.
- Do not use common words.
- Use something that no one but you would ever think of— but that you will remember (e.g., leather becomes 100letHer; helmet becomes Helmut4SafeT).
- Some people use the first, second, or last letter of each word of an uncommon phrase such as “You can't always get what you want.” This would yield “ ycagwyw.”
- Throw in a capital letter and a punctuation mark or a number or two, and you can end up with ``yCag5wyw".
- Asb$Mf stands for "April showers bring May flowers"; the dollar sign in the middle is included for extra security.
- Never use a password you’ve seen somewhere as an example of a good password – since that means others have seen it too.
- Do not at any time say or write down your password.

2.6.4 Sensitive Data

The Whistleblower application contains a limited amount of personal and/or privacy protected information, not releasable to the public under the terms of the Freedom of Information Act (FOIA) and the Privacy Act of 1974.

Improper safeguarding of some information in this system could result in an unwarranted invasion of an individual’s privacy. The list below outlines Whistleblower data considered sensitive that should be protected when in electronic or paper formats.

- Complainant Information: name, salutation, address, phone, title, email.
- Contact Information: name, salutation, position, address, phone, email.
- Case Summary (may contain sensitive information on the complainant).
- CSHO ID in Investigator Identification field.

If you print reports, documents, or other data that contain sensitive information:

- Immediately pick them up from the printer.
- Safeguard in file cabinets labeled “Sensitive Information.”
- Manually tear up or destroy with shredders when no longer needed.
- To ship, used sealed packaging and mark: “Sensitive Information. Designated Official Only.”
- Sanitize electronic media containing sensitive information prior to reuse or surplus.
- Destroy spoiled media that contains sensitive information, including diskettes, tapes, and CD-ROMs.
- Maintain a log of all sensitive information provided to individuals outside the OSHA National Office or from State and Federal offices.

2.7 WHISTLEBLOWER’S MAIN FUNCTIONS

The Whistleblower application collects data track the investigation progress from receipt of a complaint to the final case determination. Screening is no longer included — a new case is not created in the application until the complaint passes screening. The six main entry screens, identified by tabs at the top of the page, work in conjunction with the “Create New Case” screen to collect all data from the Form 87.

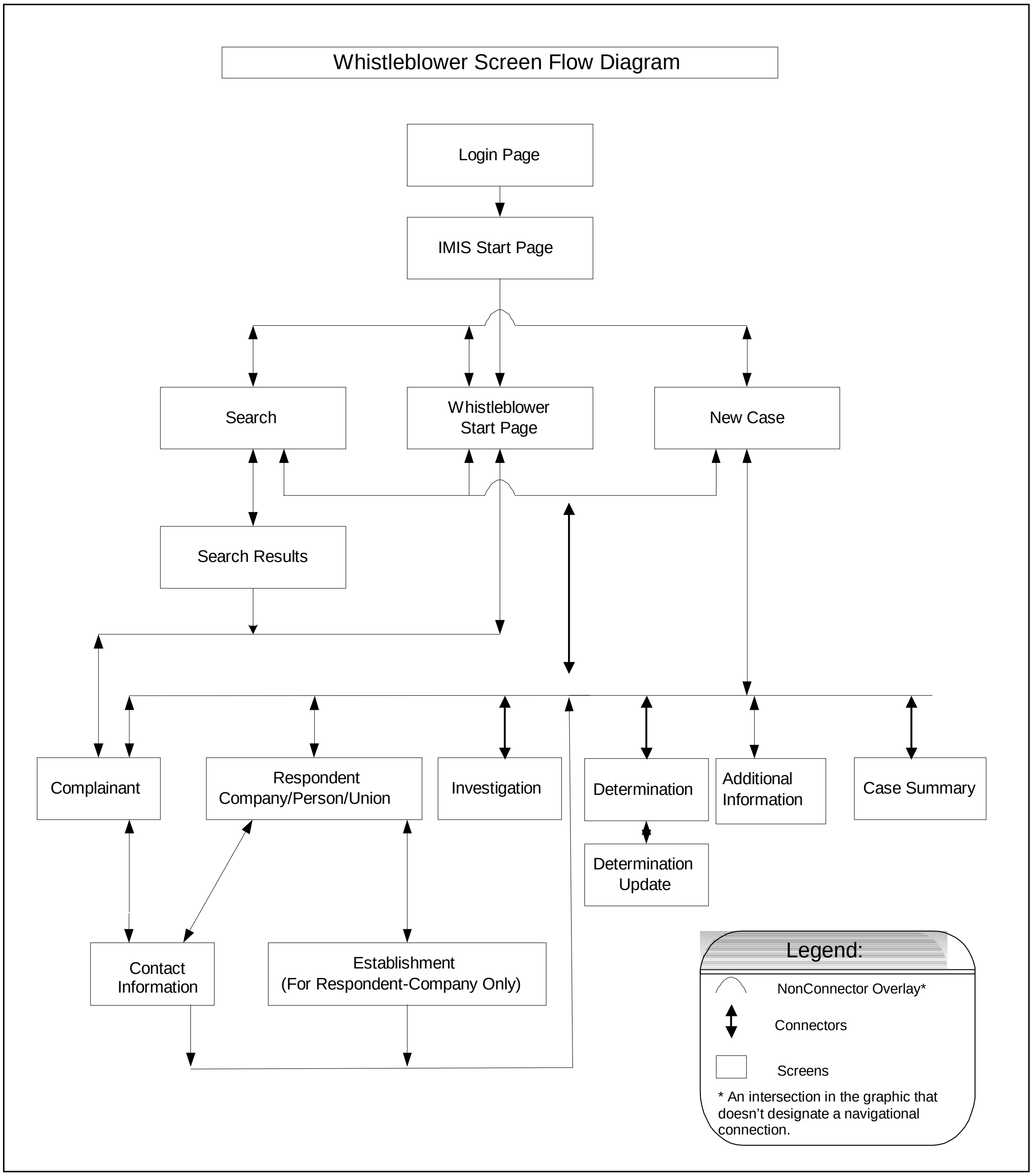
The following list identifies the screens in the Whistleblower application. Each screen is discussed in Chapter 3, Whistleblower Screens.

Table 2-2: Screens in the Whistleblower Application

Screen Name	Screen Primary Function
Start Page	Whistleblower start page.
Search	Search screen to find cases.
Search Results	Lists cases depending on search criteria.
Create New Case	All new cases begin with this screen.
Complainant	Add/update complainant information.
Respondent	Add/update respondent information (company, union, person).
Contact Person	Add/update contact person information.
Establishment Details	Add/update establishment information.
Investigation	Add/update Investigation information.
Determination	Maintain determinations for each complainant.
Additional Information	Add/update additional information.
Case Comments	Additional case comments.
Case Summary	Summary with all complainants.

Using the screens above, you will also be able to update phone numbers, email addresses, determinations, and tracking data. Figure 2-3 presents the form navigation for the application.

Figure 2-3: Whistleblower Screen Navigation

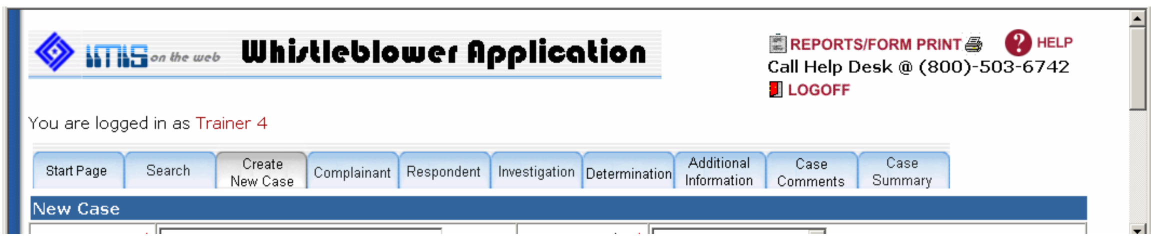


2.8 NAVIGATING WHISTLEBLOWER

2.8.1 Whistleblower Navigation Bar

Figure 2-4 presents the Whistleblower navigation bar. You can navigate through the application using the horizontal navigation bar at the top of each screen. Depending on your access level, not all tabs may be visible. You will see only tabs associated with activities you are authorized to perform.

Figure 2-4: Whistleblower Navigation Bar



2.8.2 Whistleblower Action Bar

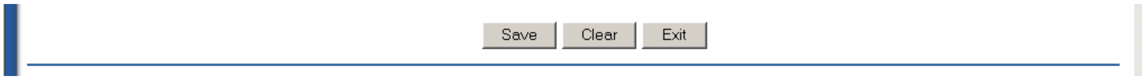
Figure 2-5 presents the horizontal action bar available at the bottom of each screen. The bar contains buttons for performing actions applicable to the current screen. Although, some screens have additional buttons, the following three buttons are available on each screen of the application.

- The <Save> button saves all data on the screen.

- The <Clear> button clears all newly entered data on the current screen. Data which were pre-populated (already displayed on the screen upon entry) is unaffected by the <Clear> button.

- The <Exit> button confirms whether to perform the save function if new data have been entered on the current screen, saves according to your response and returns you to the Whistleblower Start Page. (On the Start Page, the <Exit> button exits the Whistleblower application and returns you to the IMIS start screen.) On a child screen, the <Exit> button returns you to the parent screen. (See 2.8.6, Orienting Yourself in the Site.)

Figure 2-5: Whistleblower Action Bar



When you click the <Exit> button, it prompts you to save the data. Click <OK> to save your information and exit. Clicking <Cancel> cancels only the save operation and exits you to the Start Page of Whistleblower.

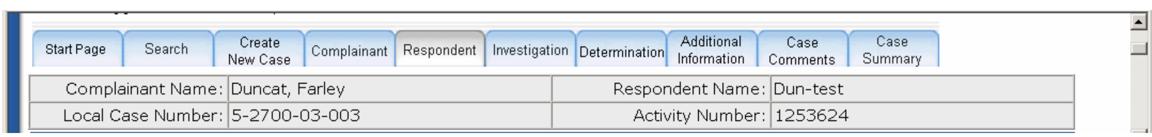
Additional buttons applicable to specific screens are identified during the discussion of that screen in Chapter 3.

2.8.3 Consistently Displayed Case Elements

Three informational data elements are always displayed in the application, as shown in Figure 2-6.

- Complainant Name – The name of the individual who has filed a complaint against the Respondent. If there are multiple complainants per case, select the specific complainant to be addressed from the drop-down menu.
- Respondent Name – The name of the company, union, or person against which the case is being filed.
- Local Case Number –The number created by the office to track the case.

Figure 2-6: Case Information Display (beneath the navigation bar)



2.8.4 Reports/Form Print

As you can see from Figure 2-7, a link to Reports/Form Print appears in the top right corner of each screen. This is part of the standard header visible on every screen. It leads to a list of the standard Whistleblower reports.

Figure 2-7: Reports/Form Print link

2.8.5 Logging Off

As you can see from Figure 2-7, a Log Off link appears in the top right corner of each screen. Use this link to log off of IMIS on the Web when all transactions are complete.

2.8.6 Orienting Yourself in the Site

Main (Parent) Screens. The main screens are accessible by the tab navigation as discussed in Section 2.8.1. The tab of the screen you are currently using is shaded gray, while all other tabs are blue. The blue title line underneath the local case number on each screen displays the name of the screen you are on.

Child Screens. Some Whistleblower screens have special buttons that lead to "child" screens, i.e., screens that are only available by linking from the screen with the special button. These special buttons can be found above the bottom horizontal action bar. The blue line that appears underneath the local case number on every screen shows you where you are. For example, you know you are on a child screen where you are able to input contact information connected to the Complainant Screen when the navigation reads "Complainant --> Contact Person."

2.8.7 Navigation, Saving Information, and Authentication

It's very important NOT to use the browser <Back> button. Use the buttons provided in the application to navigate.

If you have not entered any information on a screen, then click on a navigation tab or button, the Whistleblower application navigates to the appropriate screen without performing any other functions.

When you enter information on a screen and click any navigation tab or button, the system validates the screen's data and alerts you to any errors. If the data passes all edits, Whistleblower saves the new information without prompting you and performs the selected navigation.

A note about the <Exit> button: All parent (main) screens exit to the Whistleblower Start Page. A child screen (a screen generated by clicking a special button on one of the main screens) exits to its parent screen. The Whistleblower Start Page exits to the IMIS Start Screen.

2.8.8 Deleting a Case

Only those users with privileges to delete a case are provided the delete option. The case list presented on the Search Results screen will have a “Del” column present. Cases that you have authorization to delete will have a 'delete checkbox' next to them. Users with Level 1 access can mark specific cases for deletion and delete the case by clicking the <Delete> button at the bottom of the page. Case deletion is permanent.

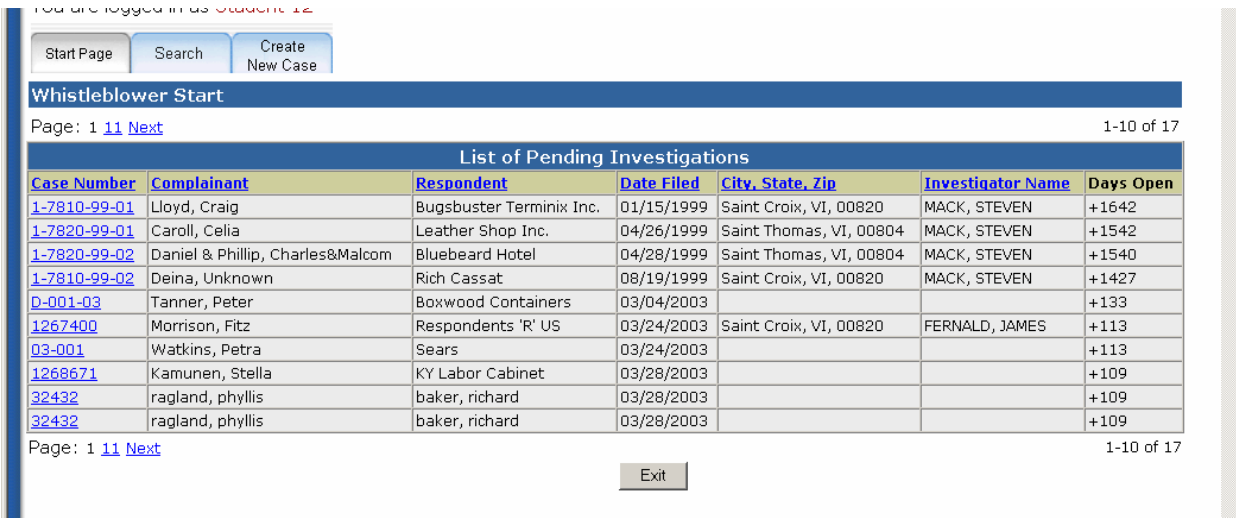
CHAPTER 3

WHISTLEBLOWER SCREENS

The following sections provide detailed descriptions of the main screens in the Whistleblower application. Each section presents the purpose of the screen, data entry fields, and validation or business rules if applicable.

3.1 START PAGE

Figure 3-1: Whistleblower Start Page



Case Number	Complainant	Respondent	Date Filed	City, State, Zip	Investigator Name	Days Open
1-7810-99-01	Lloyd, Craig	Bugsbuster Terminix Inc.	01/15/1999	Saint Croix, VI, 00820	MACK, STEVEN	+1642
1-7820-99-01	Caroll, Celia	Leather Shop Inc.	04/26/1999	Saint Thomas, VI, 00804	MACK, STEVEN	+1542
1-7820-99-02	Daniel & Phillip, Charles&Malcom	Bluebeard Hotel	04/28/1999	Saint Thomas, VI, 00804	MACK, STEVEN	+1540
1-7810-99-02	Deina, Unknown	Rich Cassat	08/19/1999	Saint Croix, VI, 00820	MACK, STEVEN	+1427
D-001-03	Tanner, Peter	Boxwood Containers	03/04/2003			+133
1267400	Morrison, Fitz	Respondents 'R' US	03/24/2003	Saint Croix, VI, 00820	FERNALD, JAMES	+113
03-001	Watkins, Petra	Sears	03/24/2003			+113
1268671	Kamunen, Stella	KY Labor Cabinet	03/28/2003			+109
32432	ragland, phyllis	baker, richard	03/28/2003			+109
32432	ragland, phyllis	baker, richard	03/28/2003			+109

3.1.1 Purpose

When you access the Whistleblower Start Page, a customized list of cases appears. The list is composed of open/pending cases assigned to the Investigator regardless of the reporting identification (RID). “Pending” cases are those cases for which no determinations have been entered. “Open” cases are those cases that do not have a Final Determination Date. *(See the listing of case status designations in Section 5.1 of this Guide.)* Investigators see their assigned cases while supervisors see cases they are investigating or supervising. Clicking on the header row changes the sort order of cases. No information can be entered or edited on this screen.

3.1.2 Data Elements

The Whistleblower Start Page contains the following elements.

Table 3-1: Data Elements of the Whistleblower Start Page

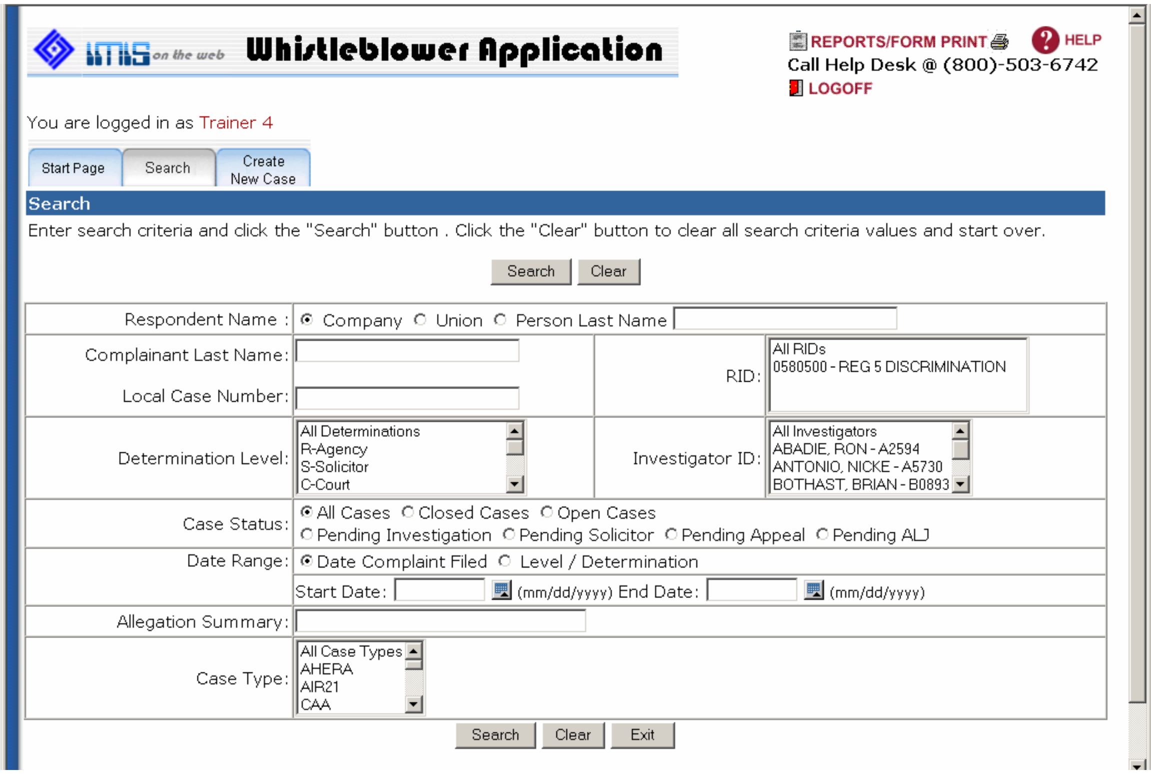
Number of cases	At the top right of the screen the total number of cases listed for the user is shown, as well as how many of those cases are displayed in the current view (e.g., 1-10 of 24).
Case Number	Displays the locally assigned number for identifying the case.
Complainant	The name of an individual or individuals who has filed a complaint against the Respondent.
Respondent	The name of the company, union or person against which the case has been filed.
Date Filed	The date a complaint was filed.
City, State, Zip	The respondent's location.
Investigator Name	The name of the investigator assigned to the case.
Days Open	The number of days passed since the case was filed.

To see more cases, click the <Next> button. (If there is no <Next> button, there are no more cases. Note the total number of cases at the top right of the listing.)

Clicking a case number displays the complainant screen for access levels 1, 2, and 3 or the case summary screen for access level 4.

3.2 SEARCH SCREEN

Figure 3-2: Search Screen



3.2.1 Purpose

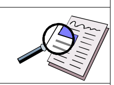
The search screen lets you specify criteria to locate a single case or a listing of cases and conduct a search of the database using criteria specified, or if none is specified, using the default criteria. If you enter multiple criteria, the search returns cases that meet the combined criteria. Nothing you enter is validated except the formatting of the start and end dates as explained below.

A listing of any/all cases found displays on the Search Results Screen (see Figure 3-3 below). That screen has a <Search Again> button that lets you return to the Search Screen for conducting a new search. Your previously entered criteria remains and can be easily cleared using the <Clear> button.

3.2.2 Data Elements

Enter one or more of the following criteria to search for a case.

Table 3-2: Data Elements of the Whistleblower Search Screen

Respondent Name	The name of the company, union or person against which the case you seek has been filed. Partial names are accepted.
Complainant Last Name	The last name of the individual or individuals who have filed a complaint against the respondent. Partial names are accepted.
Local Case Number	The local case number. Partial case numbers are accepted.
RID	A specific Reporting ID or all RIDs.
Determination Level	A determination level or all determinations
Investigator ID	An Investigator’s name and reporting identification number or all investigators.
Case Status	Cases pending investigation, closed cases, open cases or all cases.
Date Range (Start Date and End Date)	Date complaint filed or date of the Level/Determination entered. 
Allegation Summary	A keyword that matches the recorded Allegation Summary.
Case Type	A specific case type or all types.

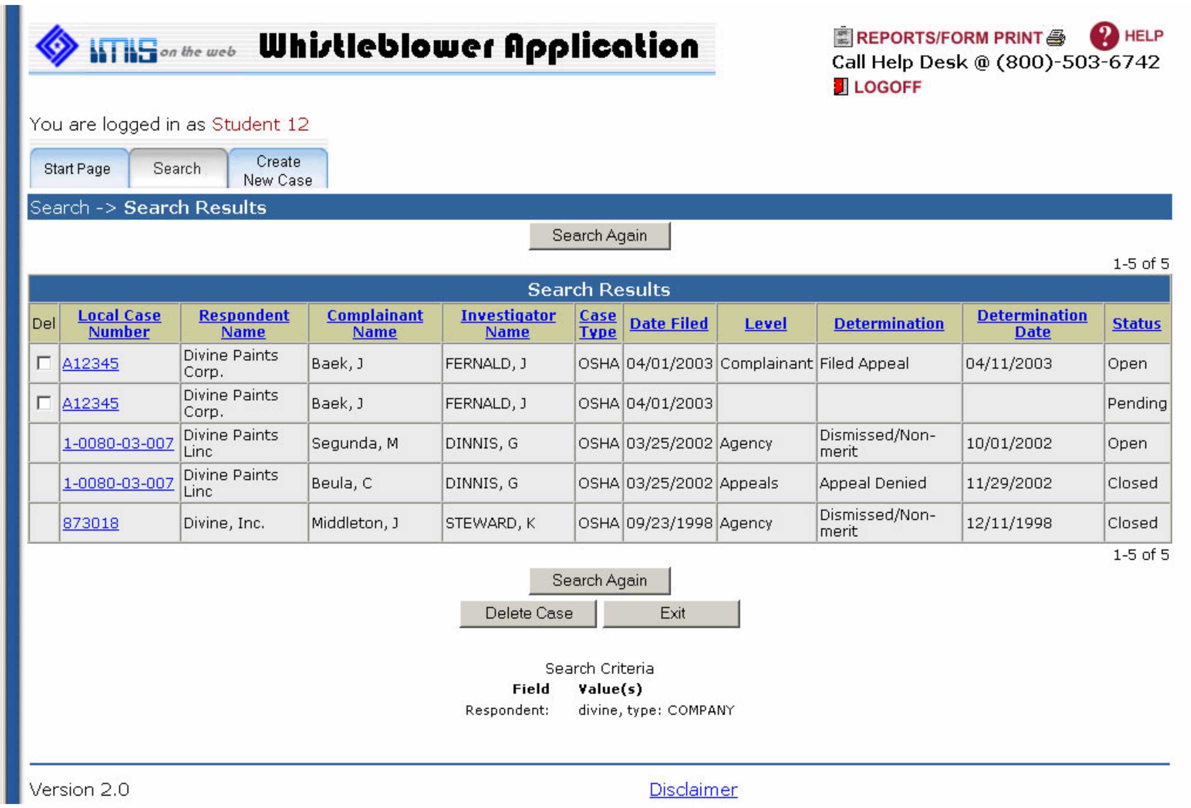
The <Search> button initiates a search of the database and displays a listing of cases meeting your criteria on the Search Results screen.

The <Clear> button clears the entries and resets the default criteria allowing for new input.

3.3 SEARCH RESULTS SCREEN

The Search Results screen presents the results of the search. Figure 3-3 presents an example of the Search Results screen. Multiple cases may be returned from a search and are sorted by Date Filed and Respondent Name.

Figure 3-3: Search Results Screen



IMIS on the web Whistleblower Application

REPORTS/FORM PRINT HELP
Call Help Desk @ (800)-503-6742
LOGOFF

You are logged in as Student 12

Start Page | Search | Create New Case

Search -> Search Results

Search Again

1-5 of 5

Search Results

Del	Local Case Number	Respondent Name	Complainant Name	Investigator Name	Case Type	Date Filed	Level	Determination	Determination Date	Status
☐	A12345	Divine Paints Corp.	Baek, J	FERNALD, J	OSHA	04/01/2003	Complainant	Filed Appeal	04/11/2003	Open
☐	A12345	Divine Paints Corp.	Baek, J	FERNALD, J	OSHA	04/01/2003				Pending
	1-0080-03-007	Divine Paints Linc	Segunda, M	DINNIS, G	OSHA	03/25/2002	Agency	Dismissed/Non-merit	10/01/2002	Open
	1-0080-03-007	Divine Paints Linc	Beula, C	DINNIS, G	OSHA	03/25/2002	Appeals	Appeal Denied	11/29/2002	Closed
	873018	Divine, Inc.	Middleton, J	STEWARD, K	OSHA	09/23/1998	Agency	Dismissed/Non-merit	12/11/1998	Closed

1-5 of 5

Search Again

Delete Case | Exit

Search Criteria

Field	Value(s)
Respondent:	divine, type: COMPANY

Version 2.0 Disclaimer

3.3.1 Purpose

The Search Results screen displays a list of cases in the same general format as the Start Screen. If a case has multiple complainants, each is shown on a separate line with the Determination status. Only cases that meet all criteria entered on the search screen are listed. Your search criteria are listed below the results. If no case matches your criteria, the screen will advise you that there are no matches. A maximum of 200 cases are returned on a search. Clicking on the header row changes the sort order of cases.

You can click on the local case number to review, update or add additional case information. The Whistleblower Start and Search Results screen allow the user to "jump" directly to any given page in a multi-page set. Users are no longer limited to "Previous/Next" options.

3.3.2 Data Elements

The Search Results screen contains the following data elements.

Table 3-3: Data Elements of the Whistleblower Search Results Screen

Del	When checked, allows the case to be deleted using the <Delete> button. Access to delete appears only if you are authorized to delete a case.
Local Case Number	The locally assigned case identification number.
Respondent Name	The name of the company, union or person against which the case is filed.
Complainant Name	The name of the individual or individuals who have filed a complaint against the respondent.
Investigator Name	The name of the investigator assigned to the case.
Case Type	The case type.
Date Filed	The date a complaint was filed. If there are multiple complainants, the earliest complainant date filed is shown and the remaining data are sorted in ascending order.
Level	The determination level assigned to the case.
Determination	The determination assigned to the case.
Determination Date	The determination date for the complainant.
Status	The case status. "Pending" cases are cases for which no determinations have been entered. "Open" cases are those cases that do not have a final determination date.

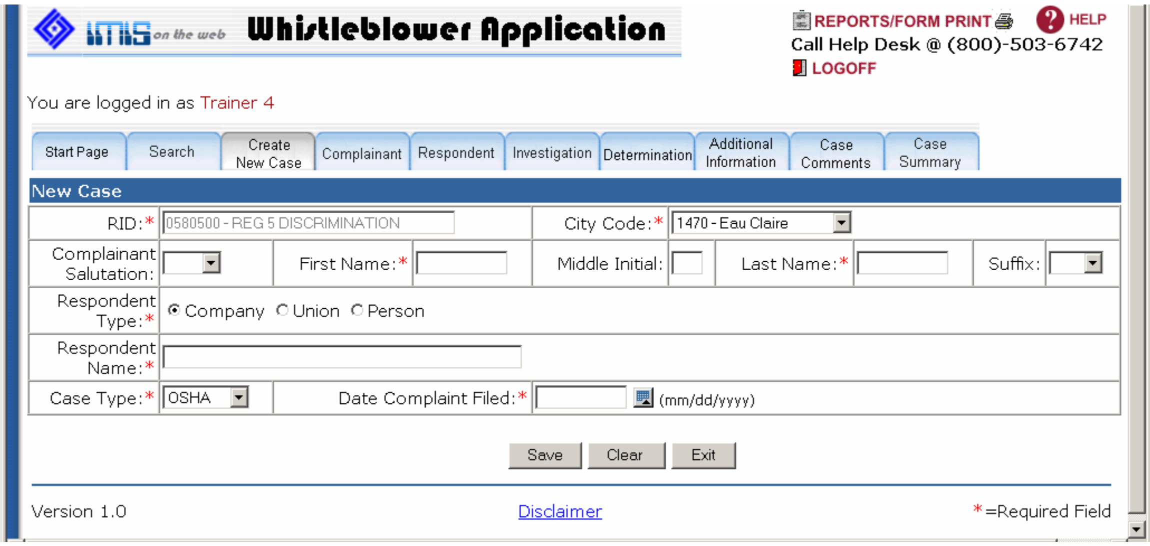
The <Search Again> button returns you to the Search screen.

The <Delete> button allows case deletion for all cases selected in the "Del" column. Only Level 1 users will have the <Delete> button displayed and the "Del" column active.

3.4 CREATE NEW CASE SCREEN

Figure 3-4 presents the Create New Case screen.

Figure 3-4: Create New Case Screen



3.4.1 Purpose

Users with Level 1 or 2 access can see the Create New Case navigation tab. The Create New Case screen requires you to enter the minimum data for creating a case. Once you enter the data in the eight required fields and click the <Save> button, the Complainant Screen displays along with the Navigation Bar allowing you to navigate to any of the Whistleblower data entry screens.

Each of the eight fields required to create a Whistleblower case is denoted on the screen by a red asterisk.

For State Users only: When Creating Cases, the local case number for state cases defaults to the activity number if no local case number is entered..

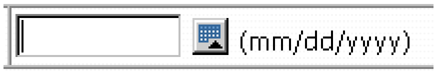
3.4.2 Data Elements

The Create a New Case screen contains the following elements.

Table 3-4: Data Elements of the Whistleblower Create New Case Screen

RID	The appropriate regional location for the case. If you are only assigned to one RID, that RID is automatically assigned to the case.
City Code	City code for the site where the alleged discrimination took place.
Complainant Salutation	The salutation (e.g., Mr., Ms., Dr. etc.) for the complainant. (Not required)
Complainant First Name	The first name of the individual who filed a complaint against the respondent. You can add additional complainants on the Complainant Screen.
Complainant Middle Initial	The middle initial for the complainant. (Not required)
Complainant Last Name	The last name of the individual who has filed a complaint against the respondent.
Complainant Suffix	A suffix for the complainant's name. (Not required)
Respondent Type	Indicates whether the complaint is against a company, union, or person.
Respondent Name	The name of the company, union or person against which the case is being filed.
Case Type	The case type. States have only the OSHA case type. Federal Investigators can select a case type from a drop-down menu.
Date Complaint Filed	Date the complaint was filed.

All date entry fields in Whistleblower have a small, square calendar button between the entry field and the format reminder (mm/dd/yyyy) as illustrated here.



You can click this button to open a month-view calendar. You can navigate forward and backward through the months using the arrows to either side of the month and year shown at the top. You can click a date to automatically insert it, in the proper format, into the entry field. The calendar automatically closes once you have selected a date.

The RID and city codes in the menu are generated according to your login information.

The Respondent Type you select will automatically influence the Respondent name blank. If the type is a Company or Union, Respondent Name is only one text box; if the type is Person, then Salutation, First and Last Names, etc. blanks appear.

All dates in the Whistleblower application are validated the same way. If your date is returned as invalid, make sure it is formatted according to the following guidelines, or use the calendar tool by clicking on the small icon just after the entry box.

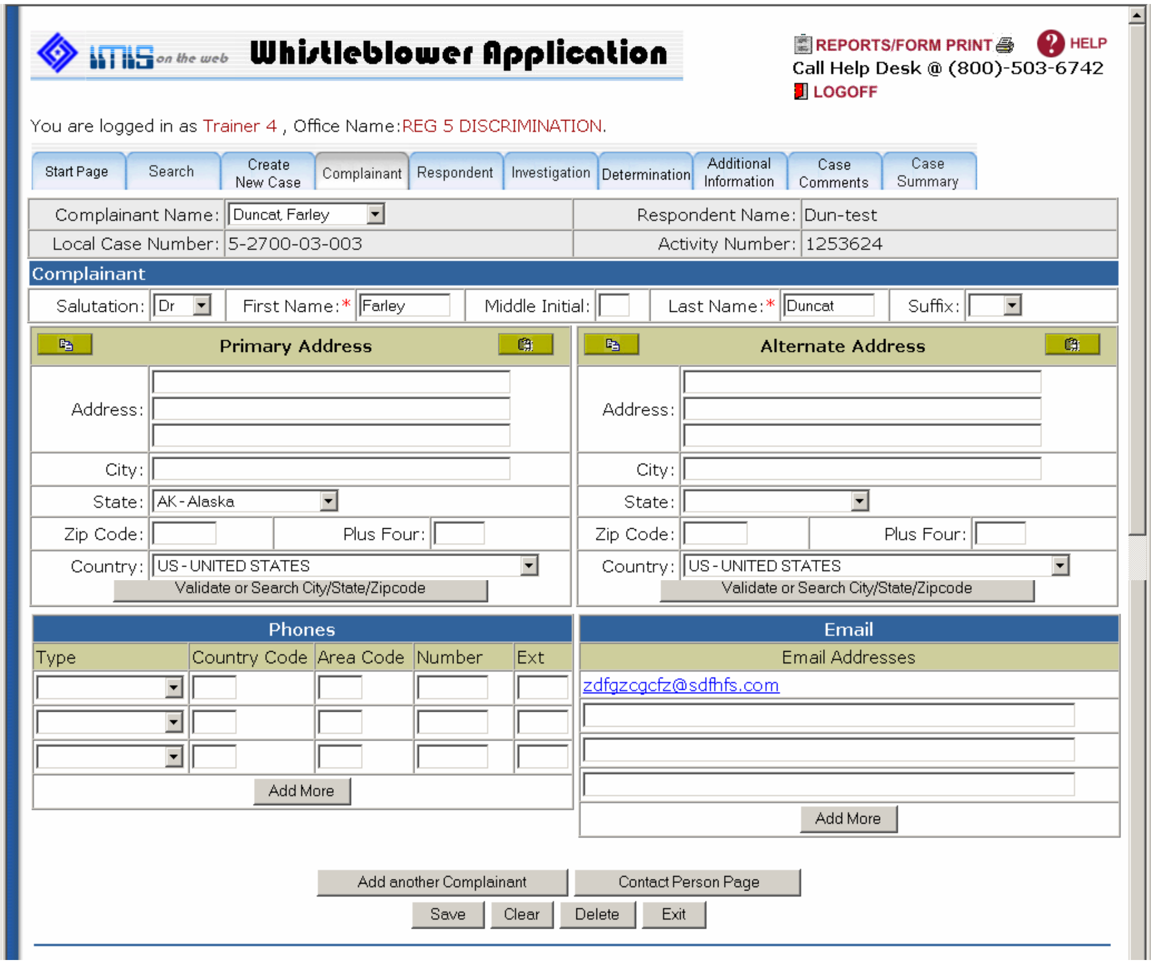
- The date should not be a future date.
- If there are start and end dates, the start date cannot be greater than the end date.
- All dates must be formatted in 10 characters, mm/dd/yyyy, e.g., 07/03/2002.

3.5 CREATING AND MODIFYING CASE DETAILS

The remaining sections describe the data entry screens for entering further information for a new case, or to modify existing information for a case.

3.5.1 Complainant Screen

Figure 3-5: Complainant Screen



3.5.1.1 Purpose

The Complainant screen allows users to enter complainant information such as complainant address, phone numbers, and e-mail addresses. To edit information about a complainant, choose that complainant from the drop-down menu (if there are multiple complainants); the associated information then displays in the fields.

3.5.1.2 Data Elements

Table 3-5: Data Elements of the Whistleblower Complainant Screen

Salutation	Name information of the Complainant entered on the previous screen is pre-populated in these fields. You can edit the information here. Only first and last name are required.
First Name	
Middle Initial	
Last Name	
Suffix	
Primary Address/Address 1	Complainant's address information.
Primary Address/Address 2	
Primary Address/Address 3	
Primary Address/City	
Primary Address/State	
Primary Address/Zip Code	
Primary Address/Country	
Alternate Address/Address 1	Alternate address information for the complainant, if applicable.
Alternate Address/Address 2	
Alternate Address/Address 3	
Alternate Address/City	
Alternate Address/State	
Alternate Address/Zip Code	
Alternate Address/Country	
Phone Type	Select the type of number if you know it: Beeper, Cellular, Fax, Voice - Home, Modem, Server Modem, Voice, Voice-Work.
Country Code	Country code defaults to a U.S. number. En it if it is a non-U.S. number.
Area Code	Area code for the complainant's phone number.
Number	Complainant's phone number.
Extension	Complainant's extension, if applicable.
E-mail	Complainant's e-mail address.

You can copy and paste addresses from another Whistleblower screen by using your browser’s Copy and Paste functions or your right mouse button.

The <Validate or Search City/State/Zipcode> button displays a screen where you can enter either a city, state, or zip, click the <Find> button and receive the missing information. Type as much information as you know to minimize choices resulting from the search. For example, clicking the <Find> button after only entering a state will list all the zip codes for the state; entering simply “al” in the city category will give you Allston, Alto, etc.

If there are more than three phone numbers or e-mail addresses to enter on any screen, click the <Add More> button under that item. (You can not do this until the three available fields are completed.) The <Add More> button validates the information provided and displays additional blank data entry fields.

More than one complainant can be associated with a case. To enter an additional complainant, click the <Add another Complainant> button. As you enter additional complainants, the Complainant Name information field at the top of the form is updated to include that complainant in the drop-down menu.

One or more contact persons may be associated with each complainant. Click the <Contact Person Page> button to enter contact person information, as discussed in section 3.5.2.

All addresses entered in the Whistleblower application are validated the same way.

- The zip code is verified against the city/state combination.
- If any address element (city, state, or zip code) is entered, the remaining address elements must be completed.
- If you change the selected country, a blank entry field replaces the state drop-down menu.
- An error message displays if the city, state, and zip code entries do not correspond.

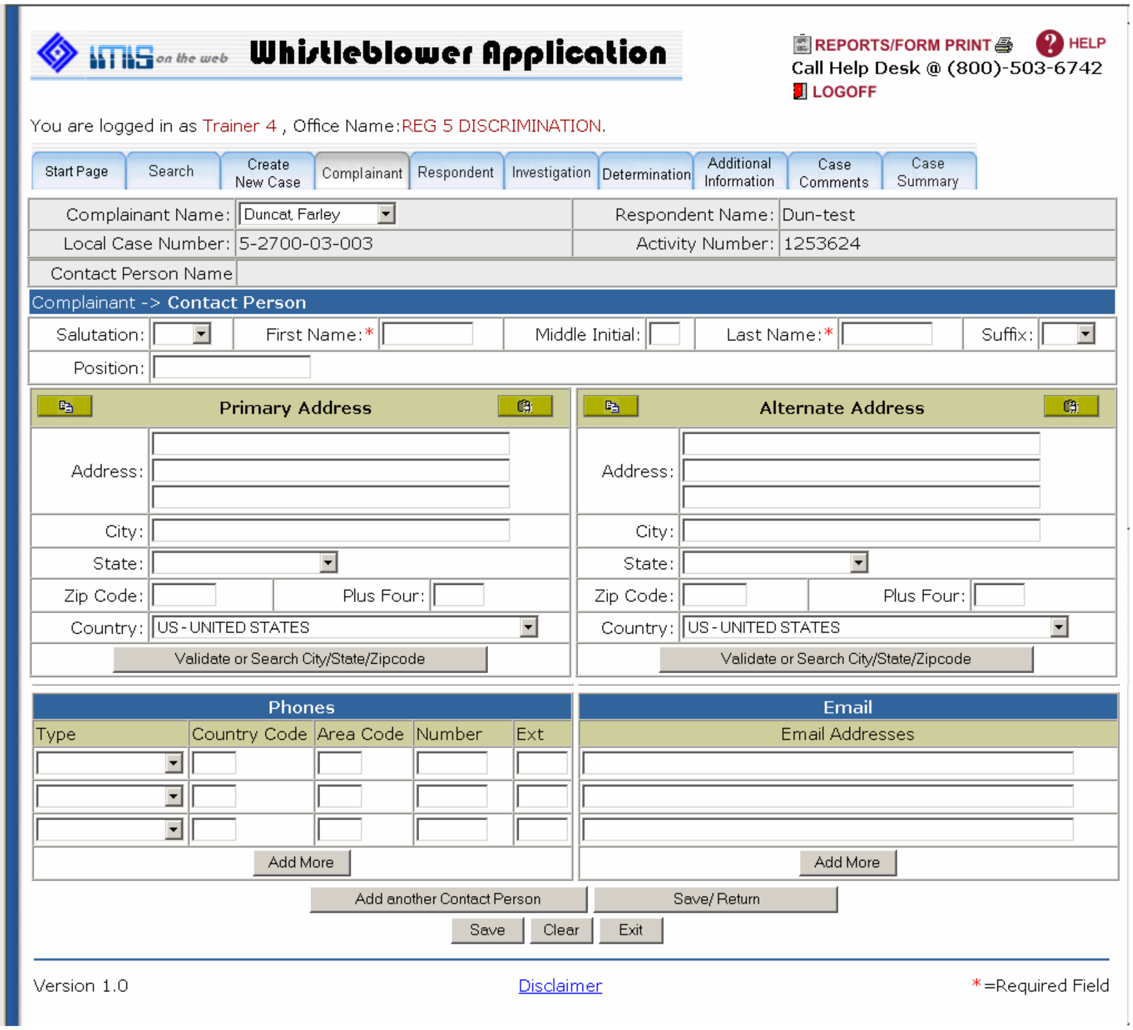
All phone numbers entered in the Whistleblower application are validated the same way.

- Enter only numeric characters.
- The default country code is U.S. (for other locations, select from the menu).
- The format for U.S. phone numbers is 7 digits 9999999 or 8 characters including the hyphen 999-9999.
- For U.S. phone numbers, you must provide a complete number set; i.e., phone type, area code, phone number, and defaulted country code. Non-U.S. phone numbers are not validated.

3.5.2 Contact Person Screen

Clicking the <Contact Person Page> button on a Complainant or Respondent screen, displays the screen for entering contact person information for the Complainant or Respondent you had open.

Figure 3-6: Contact Person Screen



3.5.2.1 Purpose

The Contact Person screen captures any additional people to be linked to the Complainant, Respondent Company, Respondent Union, or Respondent Person screens. These Contact Person screens look similar, but each screen adds the information depending on which screen you access it from. The blue line under the local case number shows you that you are connected to the Complainant Screen by indicating “Complainant --> Contact Person.”

3.5.2.2 Data Elements

Table 3-6: Data Elements of the Whistleblower Contact Person Screen

Salutation	Name information for the contact. Only first and last names are required.
First Name	
Middle Initial	
Last Name	
Suffix	
Position	The position of this contact person.
Primary Address/Address 1	Contact person's address information.
Primary Address/Address 2	
Primary Address/Address 3	
Primary Address/City	
Primary Address/State	
Primary Address/Zip Code	
Primary Address/Country	
Alternate Address/Address 1	Contact person's alternate address information, if applicable.
Alternate Address/Address 2	
Alternate Address/Address 3	
Alternate Address/City	
Alternate Address/State	
Alternate Address/Zip Code	
Alternate Address/Country	
Phone Type	Type of phone number.
Country Code	Country code defaults to a U.S. number. Enter it if it is a non-U.S. number.
Area Code	Area code for the contact person's phone number.
Number	Phone number for the contact person.
Extension	Phone extension, if applicable.
E-mail	Contact person's e-mail address.

You can copy and paste addresses from another Whistleblower screen using your browser’s Copy and Paste functions or your right mouse button.

If additional contact persons are required, click the <Add another Contact Person> button. (This button will not work until all required fields on the screen have been completed.)

The <Validate or Search City/State/Zipcode> button displays a screen where you can enter either a city, state, or zip, click the <Find> button and receive the missing information. Type as much information as you know to minimize choices resulting from the search. For example, clicking the <Find> button after only entering a state will list all the zip codes for the state; entering simply “al” in the city category will give you Allston, Alto, etc.

The Contact Person Screen is a child screen of the Complainant Screen. The <Save> button saves the information and returns you to the Complainant Screen you were on before clicking the <Contact Person> button. (All main screens Exit to the Whistleblower Start Page which child screens, such as the Contact Person Screen, exit to their parent screen.)

All addresses entered in the Whistleblower application are validated the same way.

- The zip code is verified against the city/state combination.
- If any address element (city, state, or zip code) is entered, all address elements must be completed.
- If you change the selected country, a blank entry field replaces the state drop-down menu.
- An error message displays if the city, state, and zip code entries do not correspond.

All phone numbers entered in the Whistleblower application are validated the same way.

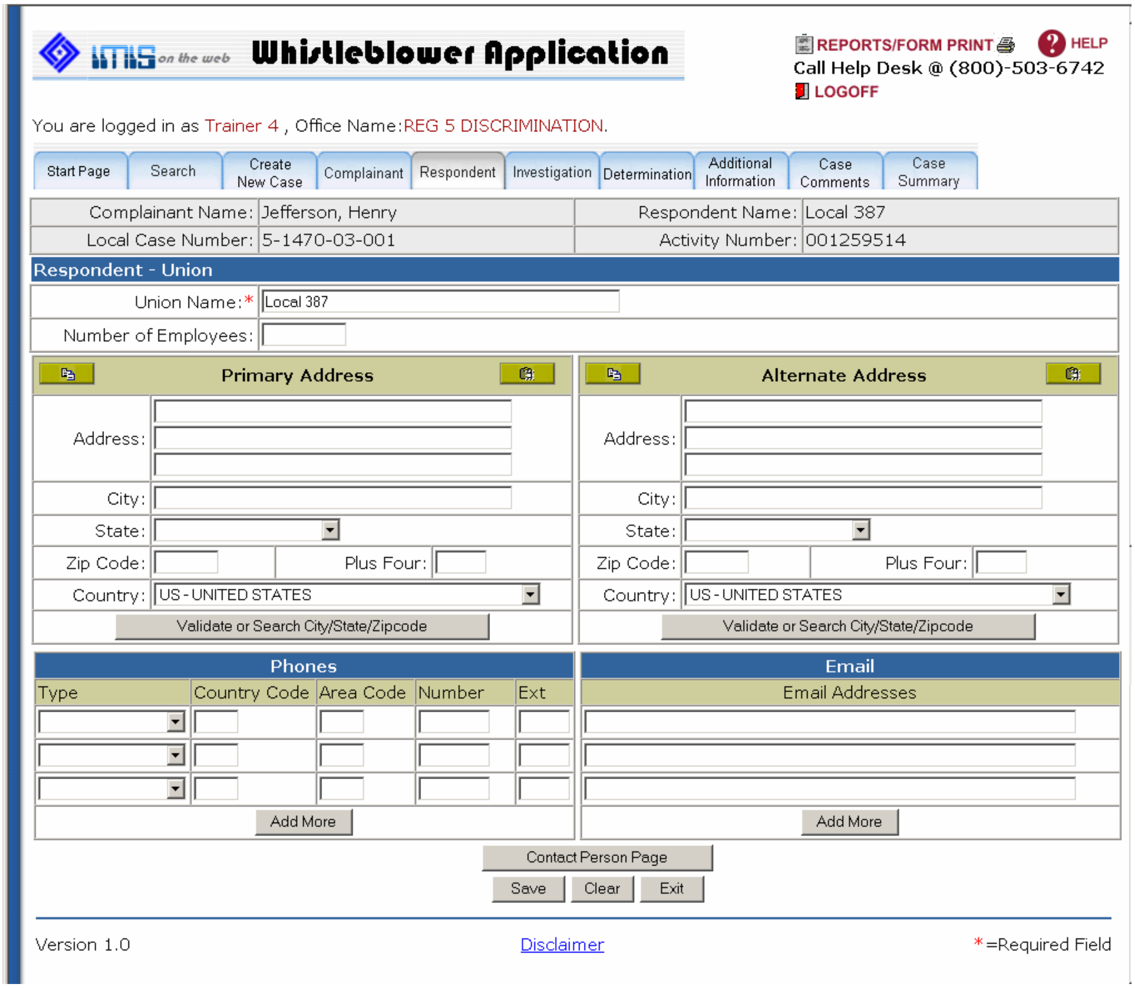
- Enter only numeric characters.
- The default country code is U.S. (for other locations, select from the menu)
- The format for U.S. phone numbers is 7 digits 9999999 or 8 characters including the hyphen 999-9999.
- For U.S. phone numbers, you must provide a complete number set i.e., phone type, area code, phone number, and defaulted country code. Non-US phone numbers are not validated.

3.5.3 Respondent Screens

There are three types of respondents: Union, Company, and Person. The appearance of the Respondent screen depends on the type of respondent entered on the Create New Case screen. The three variations of the screen are described in the following sections.

3.5.3.1 Respondent Union Screen

Figure 3-7: Respondent Union Screen



3.5.3.1.1 Purpose

The Respondent Union screen allows you to input the union name, number of employees, address, phone numbers, and e-mail addresses of the union. You can associate additional people assigned by the union to handle its affairs such as lawyers, human resources personnel, and spokesperson by clicking on the <Add Contact Person> button. This brings up a Contact Person screen as described in Section 3.5.2.

3.5.3.1.2 Data Elements

Table 3-7: Data Elements of the Respondent Union Screen

Union Name	The name previously entered on another screen pre-fills. You can edit the information here.
Number of Union Members	Number of union members.
Primary Address	Respondent's address information.
Alternate Address	Alternate address information (optional).
Phone Number Type	Type of phone number.
Country Code	Country code defaults to a U.S. number. Enter it if it is a non-U.S. number.
Area Code	Area code.
Number	Telephone number.
Extension	Phone extension, if applicable.
E-mail	E-mail address.

The <Contact Person Page> button displays the screen for adding any additional people assigned by the union to handle its affairs, such as lawyers, human resources personnel and spokesperson. (See Section 3.5.2, Contact Person Screen.)

The <Validate or Search City/State/Zipcode> button opens a screen allowing you to enter either a city, state, or zip code, click the <Find> button, and receive the missing information. Type as much information as you know to reduce the list of choices. For example, entering a state will list all the zip codes for that state, entering "al" in the city category will give you Allston, Alto, etc.

All addresses entered in the Whistleblower application are validated the same way.

- The zip code is verified against the city/state combination.
- If any address element (city, state, or zip code) is entered, all remaining address elements must be completed.
- If you change the selected country, a blank entry field replaces the state drop-down menu.
- An error message displays if the city, state, and zip code do not correspond.

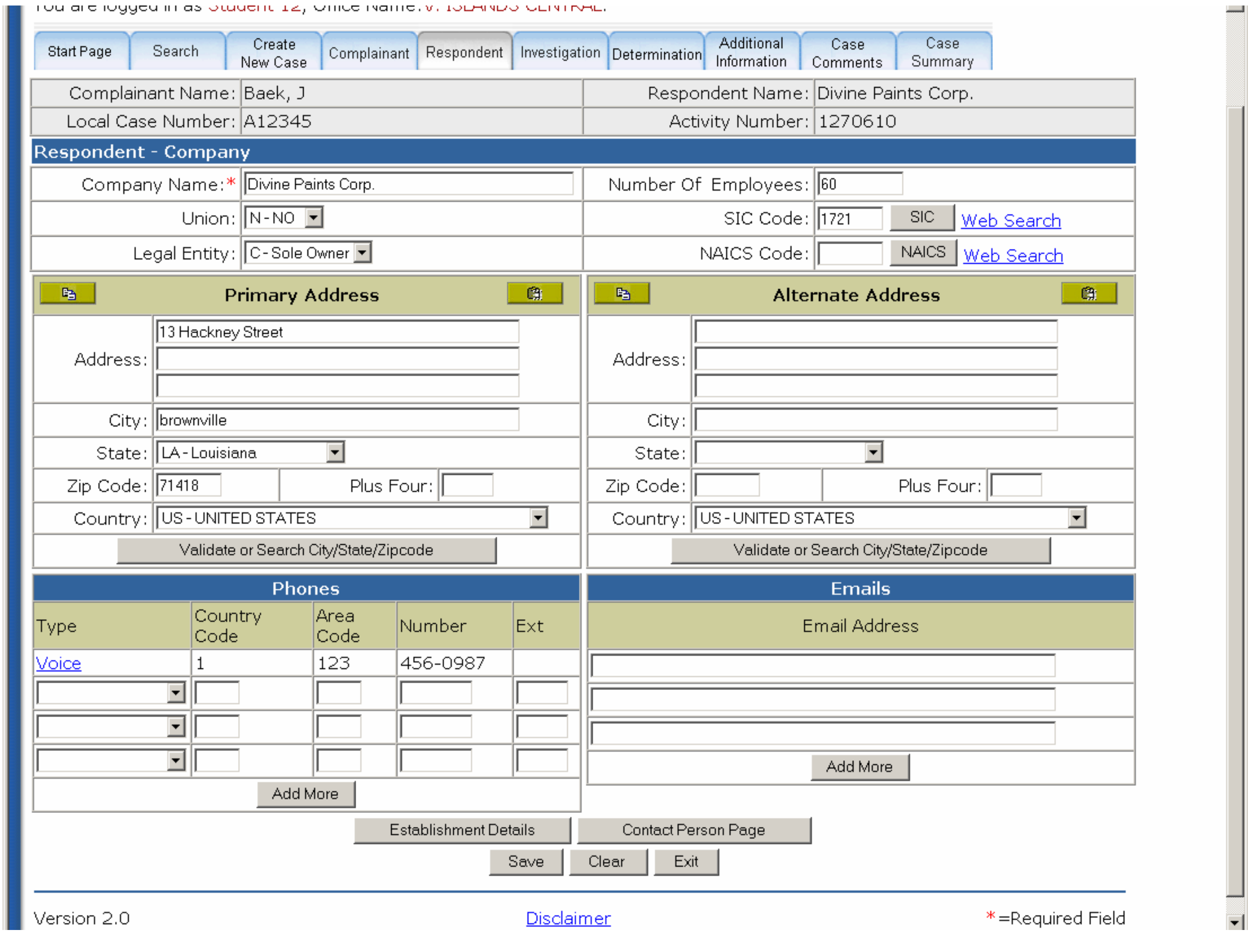
All phone numbers entered in the Whistleblower application are validated the same way.

- Enter only numeric characters.
- The default country code is U.S. (for other locations, select from the menu)
- The format for U.S. phone numbers is 7 digits, 9999999, or 8 characters including the hyphen, 999-9999.
- For U.S. phone numbers, you must provide a complete number set; i.e., phone type, area code, phone number, and defaulted country code. Non-US phone numbers are not validated.

3.5.3.2 Respondent Company Screen

Figure 3-8 presents the Respondent Company screen.

Figure 3-8: Respondent Company Screen



3.5.3.2.1 Purpose

The Respondent Company screen allows you to input the company name, whether union or non-union, number of employees, the SIC and NAICS code, and legal entity, along with the address, phone numbers and e-mail addresses of the company.

3.5.3.2.2 Data Elements

Table 3-8: Data Elements of the Respondent Company Screen

Company Name	Name information entered on previous screens pre-fill. You can edit the information here.
Union / Non Union	Whether or not the company is unionized.
Fixed Site	Indicates whether the company operates at a fixed site.
Legal Entity	The legal entity (proprietor, sole owner or partnership).
Number of Employees	Number of employees who work at the site where the alleged discrimination took place.
SIC Code	The 4-digit Standard Industrial Classification code.
NAICS Code	The 6-digit North American Industrial Classification System code.
Primary Address	Respondent's address information. (See Section 3.5.1 or 3.5.2 for detailed information on address entry.)
Alternate Address	Alternate address information for the Respondent (optional). (See Section 3.5.1 or 3.5.2 for detailed information on address entry.)
Phone Number Type	Type of number provided.
Country Code	Country code defaults to a U.S. number. Enter it if it is a non-U.S. number.
Area Code	Area code for the phone number provided.
Number	Respondent's telephone number
Extension	Phone extension, if applicable.
E-mail	Respondent's email address.

The <Contact Person Page> button displays the screen for adding any additional people assigned by the company to handle its affairs, such as lawyers, human resource personnel and spokesperson.

The <Establishment Details> button opens that screen and fills in any unique fields required by the Whistleblower application.

The Web Search link next to SIC Code leads to the Standard Industrial Classification Search screen at www.osha.gov/oshstats/sicser.html. If you click on this link, the SIC search screen opens in a separate browser window.

The Web Search link next to NAICS Code leads to the NAICS Index. If you click on this link, the NAICS Index opens in a separate browser window.

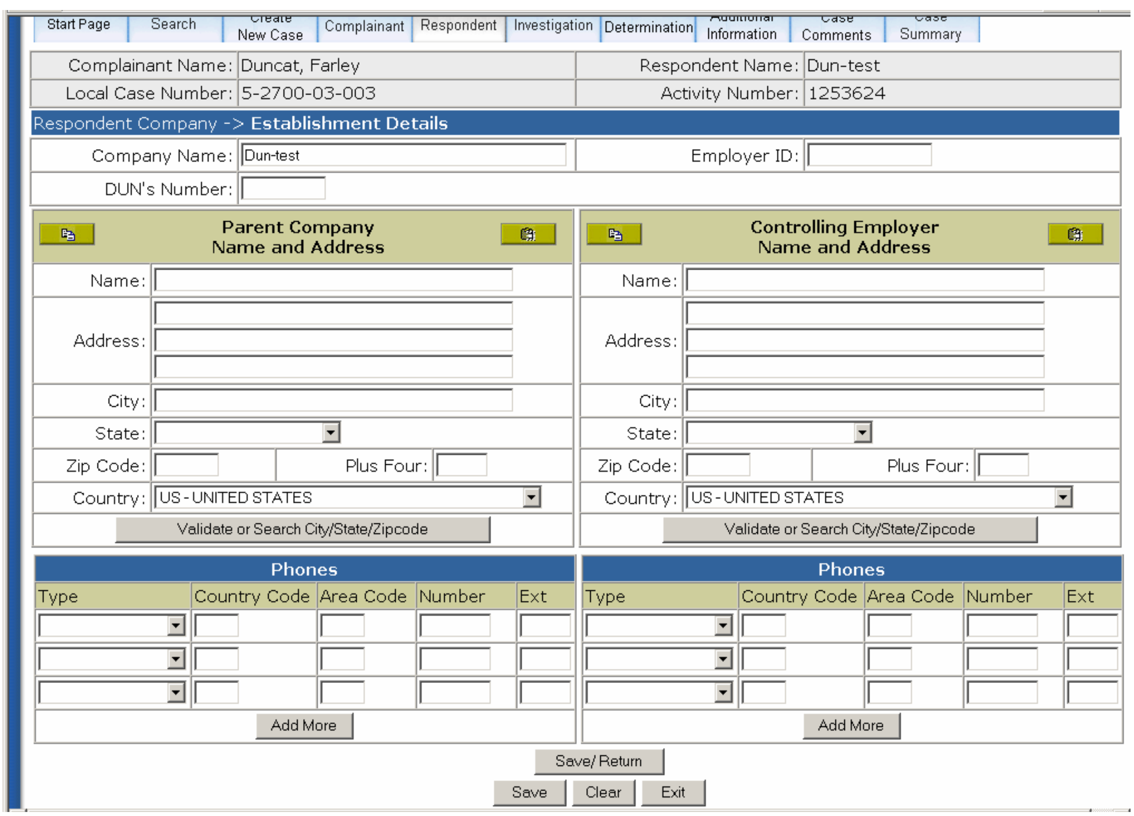
A respondent company may have parent company information that should be captured. Click the <Establishment Details> button to enter information about the parent company and the controlling company for the respondent company.

Do not use a last digit of 0 in SIC or NAICS codes.
The SIC Code must be 4 digits.
The NAICS Code must be 6 digits.

A NAICS code must be entered before you can enter the FIR date on the Investigation Screen. If a SIC code is present, pressing the NAICS button shows the corresponding NAICS codes for selection.

Establishment Details Screen

Figure 3-9: Establishment Details Screen



Purpose. A respondent company may have parent company information that should be captured. The Establishment Details screen, accessible by clicking the <Establishment Details> button from the Respondent Company screen allows you to enter and save information about the parent company and the controlling company for the respondent company.

Unique Data Elements. Table 3-9 shows the additional company information you can add this screen.

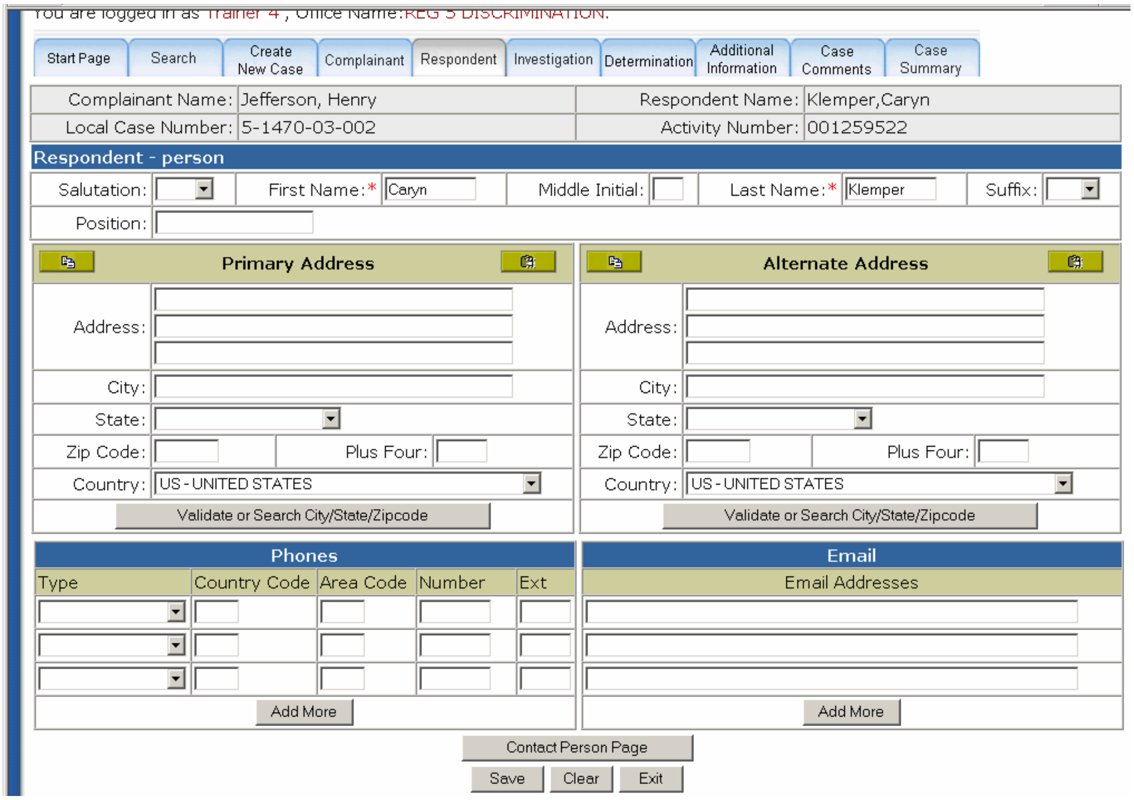
Table 3-9: Data Elements of the Establishment Details Screen

Company Name	The company name will appear as previously entered.
Employer ID	The Employer ID number.
DUN's Number	The Dun & Bradstreet DUN's number for the company.
Parent Company Name	The name of the parent company, if applicable.
Parent Company Address	The address of the parent company, if applicable. (See Section 3.5.1 or 3.5.2 for detailed information on address entry.)
Controlling Employer Name	The name of the controlling employer, if applicable.
Controlling Employer Address	The address of the controlling employer, if applicable. (See Section 3.5.1 or 3.5.2 for detailed information on address entry.)

3.5.3.3 Respondent Person Screen

Figure 3-10 presents the Respondent Person screen.

Figure 3-10: Respondent Person Screen



3.5.3.3.1 Purpose

The Respondent Person screen allows you to input the name, position and other information about the respondent.

3.5.3.3.2 Data Elements

Table 3-10: Data Elements of the Whistleblower Respondent Person Screen

Salutation	Name information entered on the previous screen pre-fill in these fields. You can edit the information here. Only first and last name are required.
First Name	
Middle Initial	
Last Name	
Suffix	
Position	The position of the respondent.
Primary Address	Respondent’s address. (See Section 3.5.1 or 3.5.2 for detailed information on address entry.)
Alternate Address	Alternate address information (optional). (See Section 3.5.1 or 3.5.2 for detailed information on address entry.)
Phone Number Type	Type of number provided.
Country Code	Country code defaults to a U.S. number. Enter it if it is a non-U.S. number.
Area Code	Area code for the number provided.
Number	Respondent’s phone number.
Extension	Phone extension, if applicable.
E-mail	Respondent’s e-mail address.

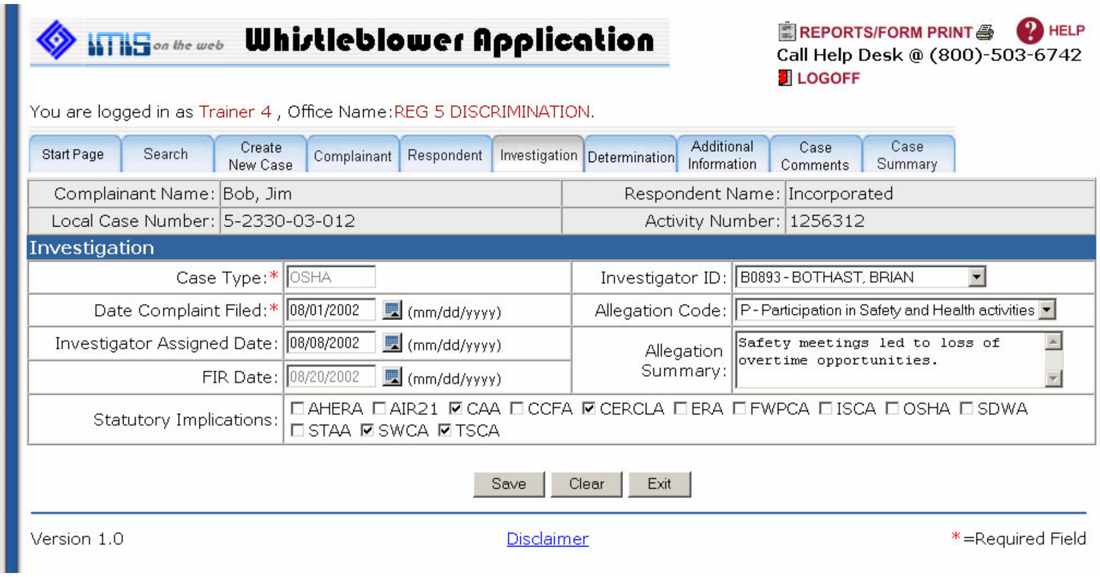
If there are more than three phone numbers or e-mail addresses to enter on any screen, click the <Add More> button underneath that item. (You can not do this until the three available fields are full.) The <Add More> button validates the information for those fields and provides additional data entry blanks.

The <Contact Person Page> button displays that screen for adding any additional persons assigned by the respondent to handle his or her affairs, such as lawyers and spokespersons.

3.5.4 Investigation Screen

Figure 3-11 presents the Investigation screen.

Figure 3-11: Investigation Screen



3.5.4.1 Purpose

The Investigation screen allows you to modify Case Type, Date Filed, and to insert/update Date Investigator Assigned, Final Investigative Report (FIR) Date, Statutory Implications, Investigator ID, Allegation Code, and Allegation Summary. The name to the right of Investigator ID is automatically filled.

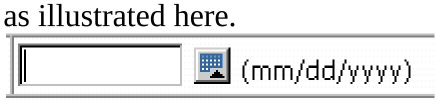
The Case Type and Date Filed are pre-populated based on case information and are required. You can modify that information here.

3.5.4.2 Data Elements

Table 3-11: Data Elements of the Whistleblower Investigation Screen

Case Type	This field automatically fills with the case type previously selected.
Date Complaint Filed	This field automatically fills with the date entered on the Create New Case screen.
Investigator Assigned Date	Date the Investigator was assigned to the case.
FIR Date	The Final Investigation Report date.
Statutory Implications	Statutory Implications are selected by clicking its preceding box. Select all that apply. (Note that these are not visible to State users).
Investigator ID	Investigator IDs and names are available in a drop down menu.
Allegation Code	Select the allegation code appropriate for the case.
Allegation Summary	The allegation summary automatically fills as previously entered on the Create New Case screen and can be edited here.

All date entry fields in Whistleblower have a small, square calendar button between the entry field and the format reminder (mm/dd/yyyy) as illustrated here.



Clicking this button opens a month-view calendar. You can navigate forward and backward through the months using the arrows to either side of the month and year shown at the top. Clicking a date automatically enters it into the entry field. The calendar automatically closes once you have selected a date.

You must have at least a primary address for all Complainants and the Respondent before you can enter an FIR date on the Investigation screen.

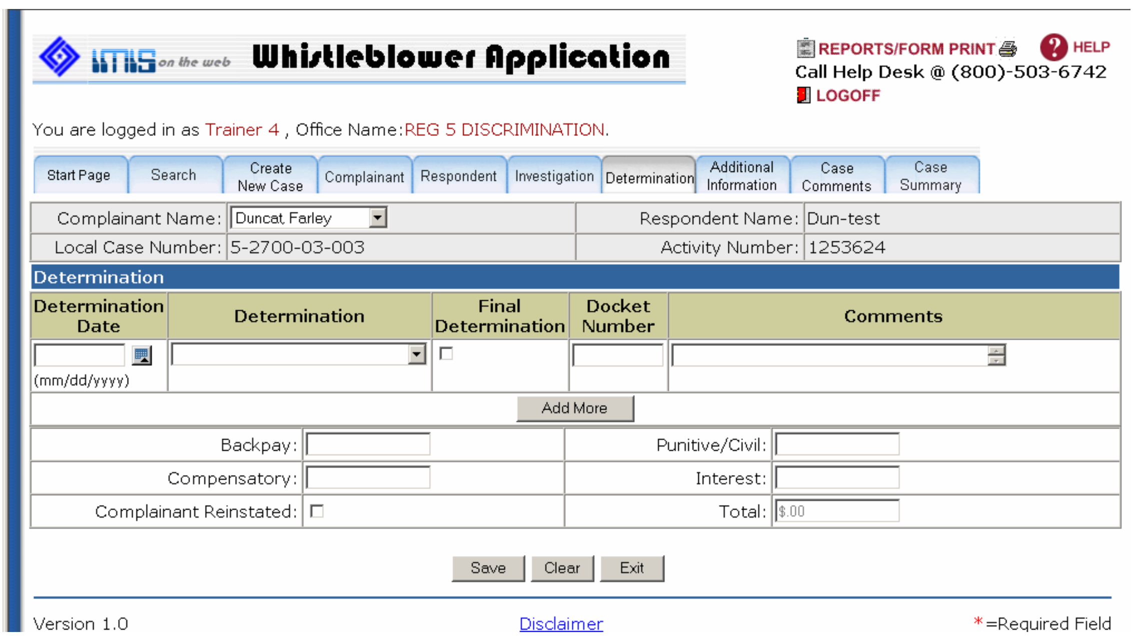
You cannot enter any determinations to the Determination Screen without first entering an FIR Date on the Investigation screen. Once a Determination is entered, the FIR Date may not be changed

If you enter either an Investigator ID or an Investigator Assigned Date, you must enter the other (these are mutually required fields).

3.5.5 Determination Screen

Figures 3-12 presents the Determination screen.

Figure 3-12: Determination Screen



3.5.5.1 Purpose

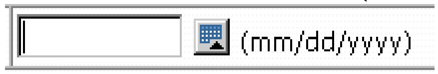
The Determination screen allows you to enter determinations, designate Final Determination, Back pay, Compensatory, Punitive, Interest, and Complainant Reinstatement for a complainant. It allows multiple entries of Determination Date, Level, Agency, and Determination Comments.

3.5.5.2 Data Elements

Table 3-12: Data Elements of the Whistleblower Determination Screen

Determination Date	Date the determination was made.
Determination	The determination can be selected from a drop down menu. Determinations are based on possible outcomes after a previous determination (if any). See the section on Determination Flow in Chapter 5 for details about available determinations.
Final Determination	Checking the box indicates that the determination is final.
Docket Number	Docket number (if applicable).
Comments	Any comments you would like to record (optional).
Row listing previous determinations	Displays previously entered determinations.
Backpay	Enter amounts in the appropriate categories, or select the Complainant Reinstated checkbox if the complainant has been reinstated.
Compensatory	
Complainant Reinstated	
Punitive	
Interest	
Total	

All date entry fields in Whistleblower have a small, square calendar button between the entry field and the format reminder (mm/dd/yyyy) as illustrated here.



Clicking this button opens a month-view calendar. You can navigate forward and backward through the months using the arrows to either side of the month and year shown at the top. Clicking a date automatically enters it into the entry field. The calendar automatically closes once a date is selected.

The <Add More> button enables additional determinations to be entered for a complainant. The button disappears when you enter a final determination.

Determinations cannot be entered on the Determination Screen without first entering an FIR Date on the Investigation screen.

All determinations can be edited; however, the determination code can be changed only for the most recent determination. Determinations are linked via their dates to the Determination Update screen shown in Figure 3-13.

All dates in the Whistleblower application are validated the same way. If a date is returned as invalid, make sure it is formatted according to the following guidelines, or use the calendar tool to insert the date.

- The date can not be a future date.
- Where there are start and end dates, the start date cannot be greater than the end date.
- All dates must be formatted in 10 characters, mm/dd/yyyy, e.g., 07/03/2002.

The determination date should be on or after the FIR date, and not later than the current date. The determination date should always occur on or after the determination before it.

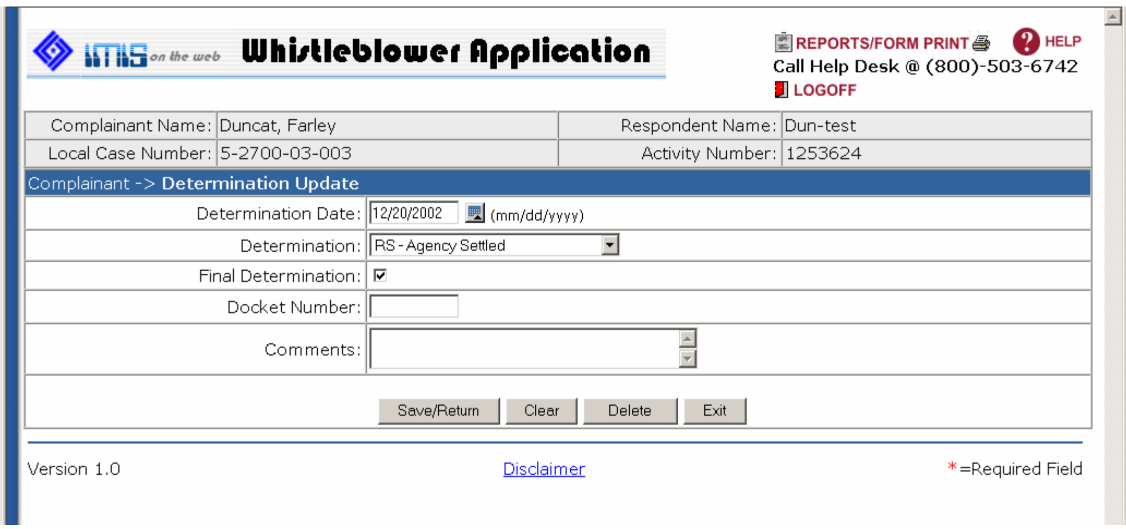
Once Final Determination is selected, you can no longer add further determinations. However, the final determination remains clickable allowing you to change or delete the entry from the Determination Update screen.

Amounts cannot be entered and the Complainant Reinstated box cannot be checked until a final determination is entered.

3.5.6 Determination Update Screen

Figure 3-13 presents the Determination Update screen.

Figure 3-13:   Determination Update Screen



3.5.6.1 Purpose

The Determination Update screen allows you to enter or update information for fields on the Determination screen.

3.5.6.2 Data Elements

Table 3-13: Data Elements of the Determination Update Screen

Determination Date	Date the determination was made.
Determination	The Determination Type. (Same as Determination column on previous screen.) The type can be changed here.
Final Determination	Checking the box indicates the selected determination to be the final determination.
Docket Number	Docket number (if applicable).
Comments	Any comments you would like to record (optional).

The < Save/Return> button saves the information and opens the determination screen with updated information.

The <Delete> button deletes this record. When you delete a record, the previous record then becomes editable.

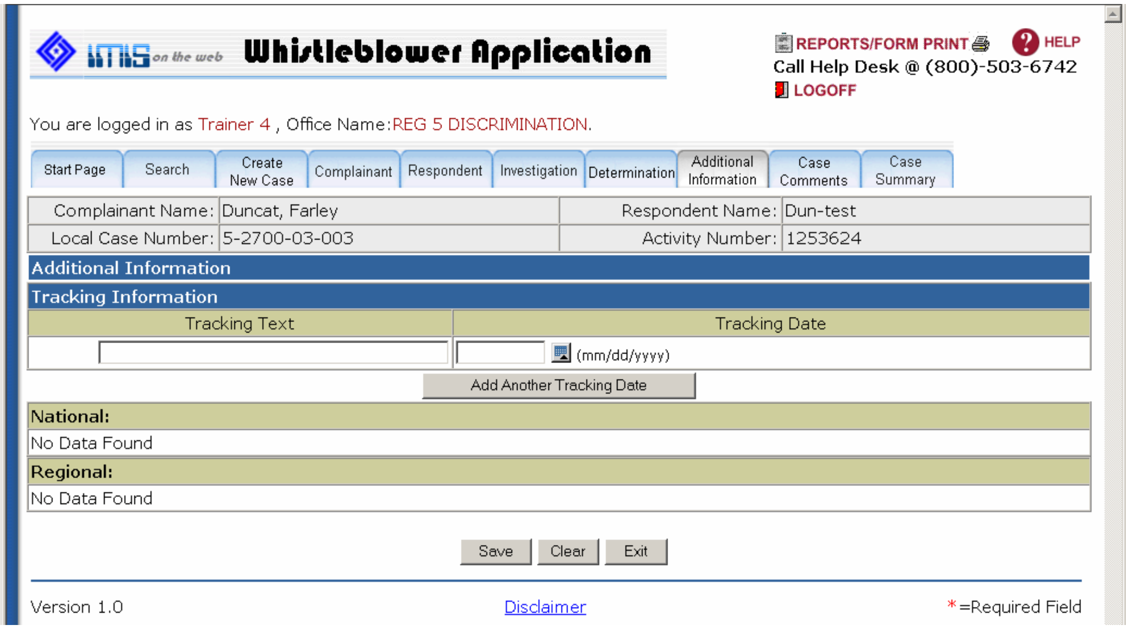
You cannot advance to the Determination screen unless FIR Date is entered on the Investigation screen.

The Investigator Assigned Date and FIR Date must be greater than or equal to the date the complaint was filed.

3.5.7 Additional Information Screen

Figure 3-14 presents the Additional Information screen.

Figure 3-14: Additional Information Screen



3.5.71 Purpose

The Additional Information screen allows you to input and track information not gathered elsewhere and which has been predetermined by either the National, Regional, State, or Area Office to be collected.

Tracking Information will always appear as an option in the middle of the screen. You may enter as many lines as necessary. You can enter multiple tracking events consecutively by using the <Add Another Tracking Date> button. Each item is updated to the tracking events list and an empty text box becomes available for entering a new item.

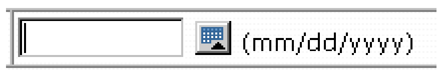
The remainder of the screen is an area that individual offices (or regions) may customize to collect Additional Information.

3.5.7.2 Data Elements

Table 3-14: Data Elements of the Additional Information Screen

Tracking Events List	Displays previous tracking notes and dates.
Tracking	For entering tracking comments as desired.
Date	The date relevant to the comments.
[Remaining Fields]	If Whistleblower has been customized so that your office is collecting additional information, enter it here.

All date entry fields in Whistleblower have a small, square calendar button between the entry field and the format reminder (mm/dd/yyyy) as illustrated here.



Clicking this button opens a month-view calendar. You can navigate forward and backward through the months using the arrows to either side of the month and year shown at the top. Clicking a date automatically enters it into the entry field. The calendar automatically closes once a date is selected.

There is always one blank line for entering tracking information. Once you enter information in the blank line and press either the <Save> or <Add Another Tracking Date> button, your entry is added to the tracking list and a new blank line appears.

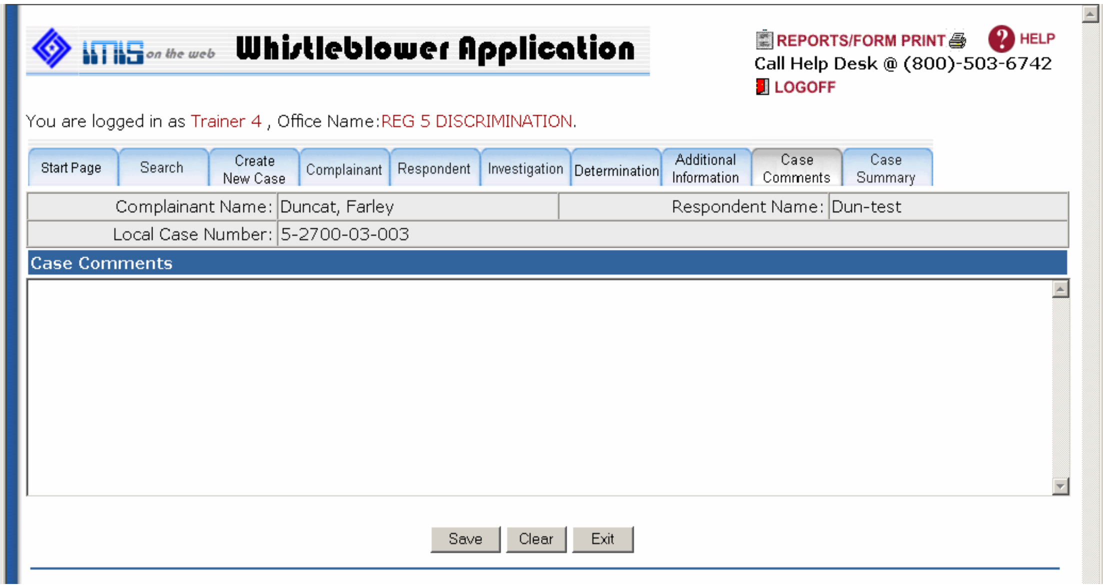
All dates in the Whistleblower application are validated the same way. If your date is returned as invalid, make sure it is formatted according to the following guidelines or use the calendar tool to select the date.

- The date should not be a future date.
- Where there are start and end dates, the start date cannot be greater than the end date.
- All dates must be formatted in 10 characters, mm/dd/yyyy, e.g., 07/03/2002.

3.5.8 Case Comments Screen

Figure 3-15 presents the Case Comments screen.

Figure 3-15: Case comments screen.



3.5.8.1 Purpose

The Case Comments screen is for entering any additional information related to the case. Information can be entered into the text area.

3.5.8.2 Data Elements

Table 3-15: Data Elements of the Whistleblower Case Comments Screen

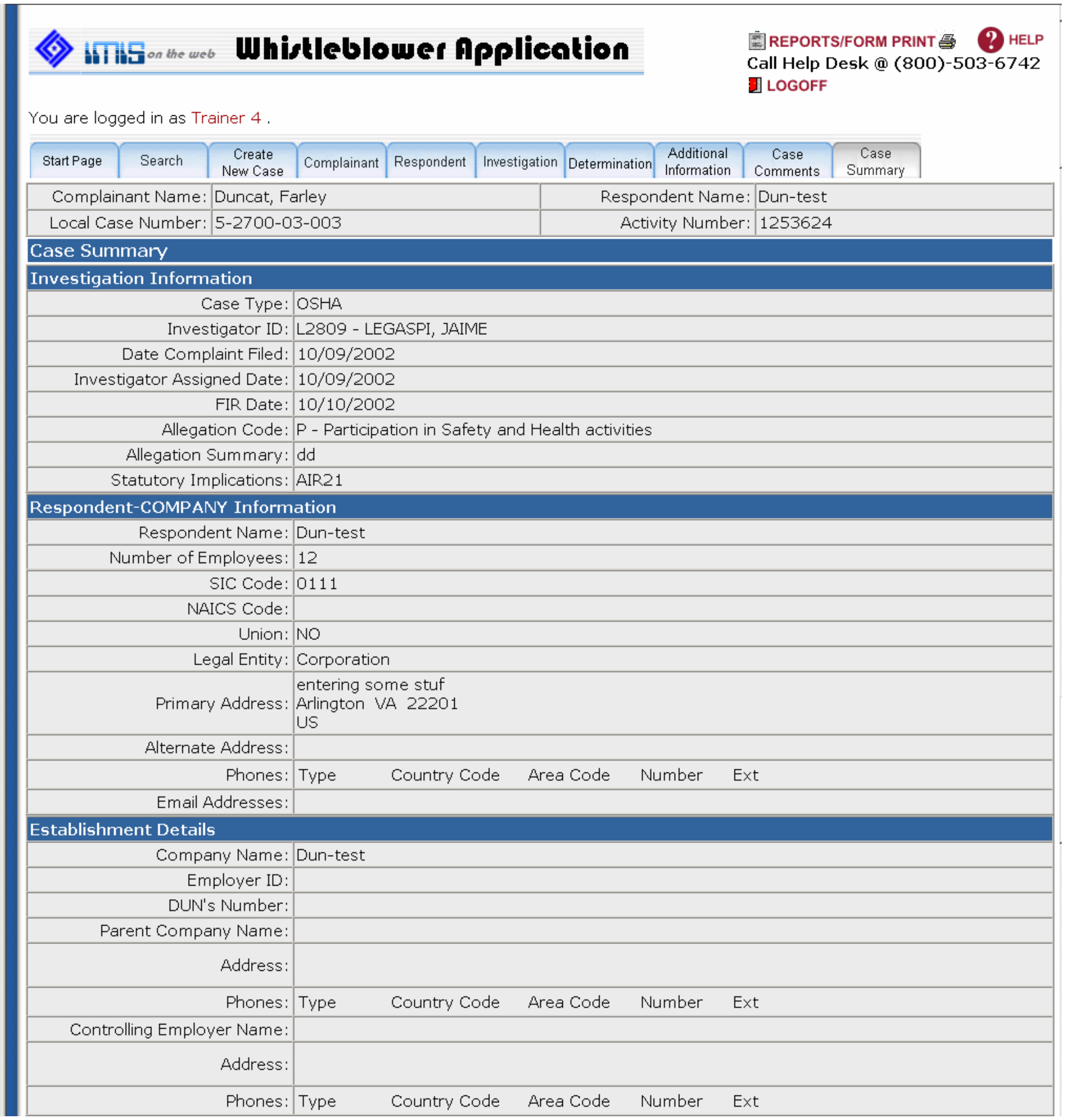
Case Comments	Enter any comments you would like to add.

The text box allows a total of 4,000 characters.

3.5.9 Case Summary Screen

Figure 3-16 presents the Case Summary Screen.

Figure 3-16: Case Summary Screen



IMIS on the web Whistleblower Application

REPORTS/FORM PRINT HELP
Call Help Desk @ (800)-503-6742
LOGOFF

You are logged in as Trainer 4 .

Start Page | Search | Create New Case | Complainant | Respondent | Investigation | Determination | Additional Information | Case Comments | Case Summary

Complainant Name:	Duncat, Farley	Respondent Name:	Dun-test
Local Case Number:	5-2700-03-003	Activity Number:	1253624

Case Summary	
Investigation Information	
Case Type:	OSHA
Investigator ID:	L2809 - LEGASPI, JAIME
Date Complaint Filed:	10/09/2002
Investigator Assigned Date:	10/09/2002
FIR Date:	10/10/2002
Allegation Code:	P - Participation in Safety and Health activities
Allegation Summary:	dd
Statutory Implications:	AIR21
Respondent-COMPANY Information	
Respondent Name:	Dun-test
Number of Employees:	12
SIC Code:	0111
NAICS Code:	
Union:	NO
Legal Entity:	Corporation
Primary Address:	entering some stuf Arlington VA 22201 US
Alternate Address:	
Phones:	Type Country Code Area Code Number Ext
Email Addresses:	
Establishment Details	
Company Name:	Dun-test
Employer ID:	
DUN's Number:	
Parent Company Name:	
Address:	
Phones:	Type Country Code Area Code Number Ext
Controlling Employer Name:	
Address:	
Phones:	Type Country Code Area Code Number Ext

Complainant Information - Dr Farley Duncat	
Complainant Name:	Dr Farley Duncat
Primary Address:	AK US
Alternate Address:	
Phones:	Type Country Code Area Code Number Ext
Email Addresses:	zdfgzcgcfz@sdfhfs.com

Determination for Complainant - Dr Farley Duncat

Date	Determination	Final Determination	Docket Number	Comments
No Determinations Found				

Determination Amounts	
Backpay:	
Punitive/Civil:	
Compensatory:	
Interest:	
Total:	$.00
Complainant Reinstated:	NO

Complainant Information - Farlseworth Duncat Jr	
Complainant Name:	Farlseworth Duncat Jr
Primary Address:	
Alternate Address:	
Phones:	Type Country Code Area Code Number Ext
Email Addresses:	

Determination for Complainant - Farlseworth Duncat Jr

Date	Determination	Final Determination	Docket Number	Comments
No Determinations Found				

Determination Amounts	
Backpay:	
Punitive/Civil:	
Compensatory:	
Interest:	
Total:	
Complainant Reinstated:	NO

Case Comments	
Case Comments:	

Additional Information

Tracking Information

Tracking Info:	

National:

No Data Found

Regional:

No Data Found

Exit

Version 1.0 Disclaimer * =Required Field

3.5.9.1 Purpose

The Case Summary screen may be viewed at any time once the Complainant, Respondent, and Local Case Number are entered. The screen displays all Form 87 data including the Restitution Amounts, Complainant Reinstated, and SIC and NAICS codes. All complainants and all determinations for each complainant are displayed. This summary is for viewing online and is not editable. Users at access level 4 can use this screen but will not see the seven tabs related to creating or editing cases.

The application displays rows associated with all entry fields throughout the seven screens for case information. All case information recorded is displayed on the appropriate row.

You can use the standard Windows copy and paste operation to extract displayed text for use in other applications.

3.5.9.2 Data Elements (Not Editable)

The Case Summary screen displays all entered information. Table 3-16 indicates the headers on the Case Summary screen and lists the data elements for each header.

Table 3-16: Data Elements of the Whistleblower Case Summary Screen

Investigation Information	
Case Type	
Investigator ID	
Date Complaint Filed	
Investigator Assigned Date	
FIR Date	
Allegation Code	
Allegation Summary	
Statutory Implications	
Respondent —*COMPANY* Information	
Respondent Name	
Number of Employees	

SIC Code	
NAICS Code	
Union/Non Union	
Fixed Site	
Legal Entity	
Primary Address	
Alternate Address	
Phones	
Type	
Country Code	
Area Code	
Number	
Ext	
Email Addresses	
Establishment Details	
Company Name	
Employer ID	
DUN's Number	
Parent Company Name	
Address	
Phones	
Type	
Country Code	
Area Code	
Number	
Ext	
Controlling Employer Name	
Address	
Phones	
Type	
Country Code	
Area Code	
Number	
Ext	

Complainant Information	
Complainant Name	
Primary Address	If there are multiple complainants, the fields shown between the shaded rows will repeat for each complainant entered.
Alternate Address	
Phones	
Type	
Country Code	
Area Code	
Number	
Ext	
Email Addresses	
Contact Person Name	
Primary Address	
Alternate Address	
Phones	
Type	
Country Code	
Area Code	
Number	
Ext	
Email Addresses	
Contact Person Name	
Primary Address	
Alternate Address	
Phones	
Type	
Country Code	
Area Code	
Number	
Ext	
Email Addresses	
Determination for Complainant	
Determination Date	
Determination	
Final Determination	
Docket Number	
Comments	
Backpay	

Punitive/Civil	
Compensatory	
Interest	
Complainant Reinstated	
Case Comments	
Case Comments	
Additional Information	
Tracking Information	
Tracking Info	
National	Whatever fields have been custom-created for your region in the Additional Information screen will appear here in the summary.
Regional	

CHAPTER 4

REPORTS

Whistleblower application reports preserve the 1998 taskforce standard reports available to Discrimination users. The application allows access to seven reports which support the major Whistleblower functions and to a screen for printing a blank Form 87. All reports are developed using the Business Objects business intelligence tool. The seven reports available to users are listed below and are discussed in subsequent sections.

- Activity Measures Report
- Case Activity Worksheet
- Case Listing Report
- Case Summary Report
- Investigation Data Report
- Length of Investigation Report
- Pending Cases Report

Clicking Reports/Form Print from the list of Whistleblower options on the IMIS Start Screen or clicking the red Reports/Form Print link to the left of the help link at the top right corner of any Whistleblower screen opens the reports menu.

Figure 4-1: Reports/Form Print link

The link illustrated above opens a new window with a menu of standard reports. Click on the report you want to generate. You may be prompted to enter information such as start date, end date, RID number, investigator, case type, or whether you want to report on Federal and/or state offices.

- Enter the start and end date (mm/dd/yyyy) and any specific parameters for the report.
- Enter an asterisk for case type, investigator, or RID if you want to include all results in those categories.

- Use a percent sign (%) as the wildcard symbol for RIDs. (The first two digits of a RID are the OSHA Region ID.) For example, entering a RID filter of 09% generates a report which includes all Region 9 offices.

You cannot leave any of the information prompts blank. Once you have filled in the information prompts, click the <Run Query> button to view the report.

4.1 ACTIVITY MEASURES REPORT

The Activity Measures report displays the results of case activity for a user-specified time period using the format of the seven standard activity measures:

- Case Backlog
- Timeliness
- Merit Rate
- Settlements
- OSHA Appeals
- SOL Processing
- ALJ Processing

Figure 4-2 presents a sample Activity Measures report.

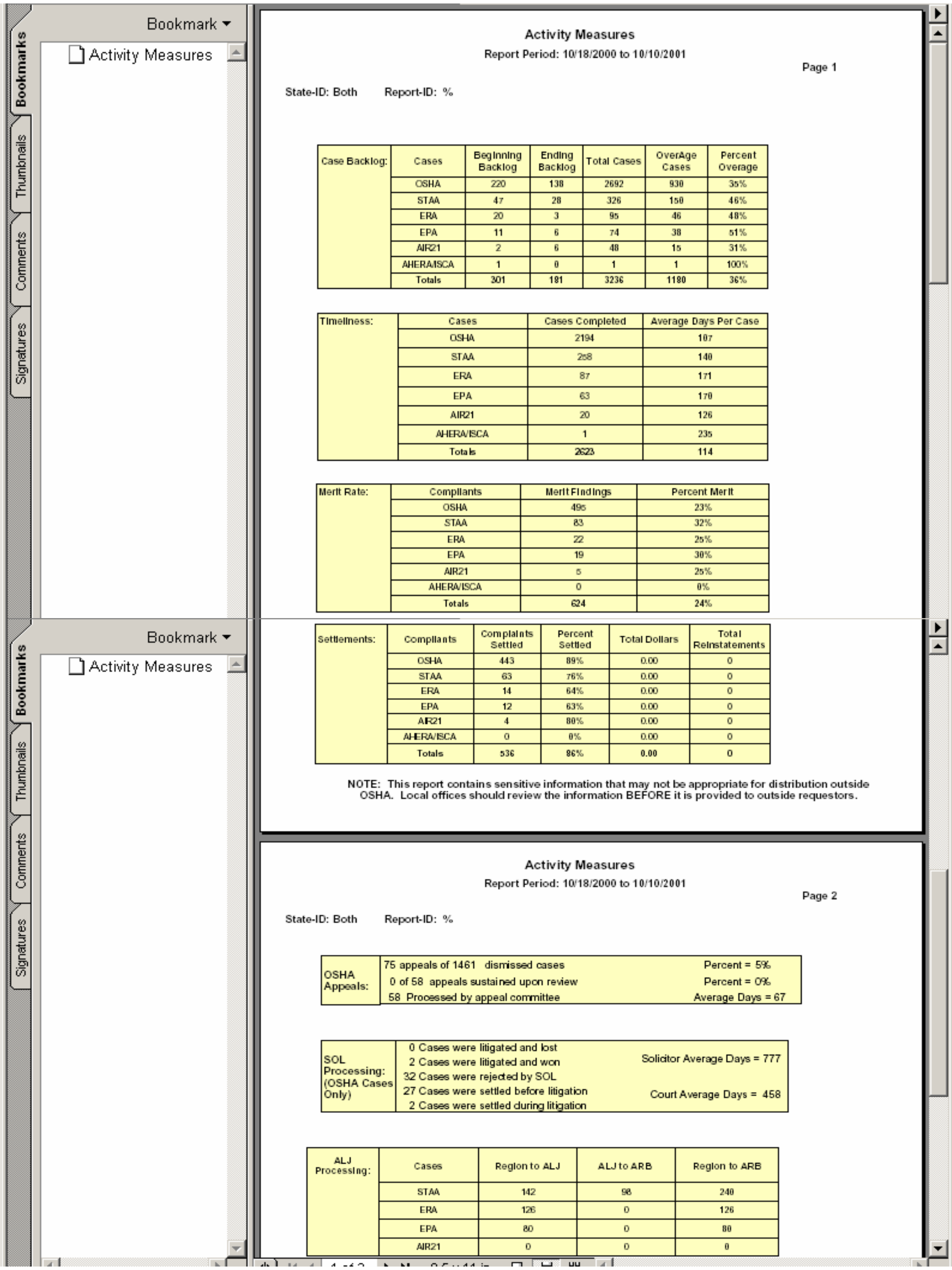
Upon selecting the Activity Measures report, you will be prompted to enter the following information. Where available, the <Show Values> button displays a "pick list" for selecting specific criteria. You cannot leave any of the information prompts blank.

- Date Range - Enter the earliest and latest complaint filed dates in the mm/dd/yyyy format to limit the output to the specified date parameters. There are no system defaults and both dates must be entered.

- Federal or State Data – Enter an asterisk to search for both Federal and State data; an F to search for only Federal data; or an S to search for only State data.

- RID – Enter a RID or choose a RID from the pick list.

Figure 4-2: Activity Measures Report



Activity Measures

Report Period: 10/18/2000 to 10/10/2001

Page 1

State-ID: Both   Report-ID: %

Case Backlog:	Cases	Beginning Backlog	Ending Backlog	Total Cases	OverAge Cases	Percent Overage
	OSHA	220	138	2692	930	35%
	STAA	47	28	326	150	46%
	ERA	20	3	95	46	48%
	EPA	11	6	74	38	51%
	AIR21	2	6	48	15	31%
	AHERA/ISCA	1	0	1	1	100%
	Totals	301	181	3236	1180	36%

Timeliness:	Cases	Cases Completed	Average Days Per Case
	OSHA	2194	107
	STAA	258	140
	ERA	87	171
	EPA	63	170
	AIR21	20	126
	AHERA/ISCA	1	235
	Totals	2623	114

Merit Rate:	ComplIants	Merit Findings	Percent Merit
	OSHA	495	23%
	STAA	83	32%
	ERA	22	25%
	EPA	19	30%
	AIR21	5	25%
	AHERA/ISCA	0	0%
	Totals	624	24%

Settlements:	Compliants	Complaints Settled	Percent Settled	Total Dollars	Total Reinstatements
	OSHA	443	89%	0.00	0
	STAA	63	76%	0.00	0
	ERA	14	64%	0.00	0
	EPA	12	63%	0.00	0
	AIR21	4	80%	0.00	0
	AHERA/ISCA	0	0%	0.00	0
	Totals	536	86%	0.00	0

NOTE: This report contains sensitive information that may not be appropriate for distribution outside OSHA. Local offices should review the information BEFORE it is provided to outside requestors.

Activity Measures

Report Period: 10/18/2000 to 10/10/2001

Page 2

State-ID: Both   Report-ID: %

OSHA Appeals:		
	75 appeals of 1461 dismissed cases	Percent = 5%
	0 of 58 appeals sustained upon review	Percent = 0%
	58 Processed by appeal committee	Average Days = 67

SOL Processing: (OSHA Cases Only)		
	0 Cases were litigated and lost	
	2 Cases were litigated and won	Solicitor Average Days = 777
	32 Cases were rejected by SOL	
	27 Cases were settled before litigation	Court Average Days = 458
	2 Cases were settled during litigation	

ALJ Processing:	Cases	Region to ALJ	ALJ to ARB	Region to ARB
	STAA	142	98	240
	ERA	126	0	126
	EPA	80	0	80
	AIR21	0	0	0

4.2 CASE ACTIVITY WORKSHEET REPORT

The Case Activity Worksheet report displays the selected case in a populated form 87. A sample Case Activity Worksheet report is presented below.

There is one option for this report. Upon selecting the Case Activity Worksheet report, you will be prompted to enter the following information.

- Activity Number/ Local Case Number - Enter or select the unique number identifying a specific case. You cannot leave this prompt blank; there is no system default.

Figure 4-3: Case Activity Worksheet.

Filed Date:	06/16/2000	Local Case No.:	01-1270-00-019	Activity Number:	1070986	Reporting ID:	0100000		
Case Type:	OSHA	Statutory Implications:	OSHA						
Allegation:	M - Complaint with management	Investigator ID:	H4085 - HOROWITZ, CAROL	Assigned Date:	06/22/2000				
Allegation Summary:									

Respondent Information:	**Name:**	International Chemical & Machine	**Phones:**	
Primary Address:			V	(508)764-0438
14 Curtis Street			F	(508)764-7534
Southbridge MA 01550			**Email Address:**	
Alternate Address:				
14 Curtis Street				
Southbridge MA 01550				

Contact Information:	William Manion	**Phones:**	
Position:	Owner		
Primary Address:			
		Email Address:	

Complainant Information:	Name:	Jonathan M Chalmers			
Primary Address:				**Phones:**	
146 Pleasant Street				V	(508)764-0425
Southbridge MA 01550 UNITED STATES				F	(508)764-2253
Determ. Date	**Determination**	**Total Compensation**	**Reinstatement**	**Email Address:**	
09/07/2000	RW Agency Withdrawn	$0.00	NO	cjonathan@yahoo.com	

I certify that the complaint was filed with me on (date):		
Signature	Title	Date

4.3 CASE LISTING REPORT

The Case Listing report provides a listing of open and closed cases with complaints filed within the user-specified date range. It gives case pertinent information including determination dates, levels and determinations for all the various findings and appeals that may occur subsequent to the investigation. This report may be run for all case types or for one user-specified case type. This report is useful for reviewing case histories and for verifying database validity. Figures 4-4 and 4-5 present a sample Case Listing report.

There are five report options:

Upon selecting the Case Listing report, you will be prompted to enter the following information. Note that you can click on the <Show Values> button to choose filter criteria from a pick list, where available. No option prompts can be left blank.

- Date Range – Enter the earliest and latest complaint filed dates in the mm/dd/yyyy format to limit the output to the specified date parameters. There are no system defaults and both dates must be entered.

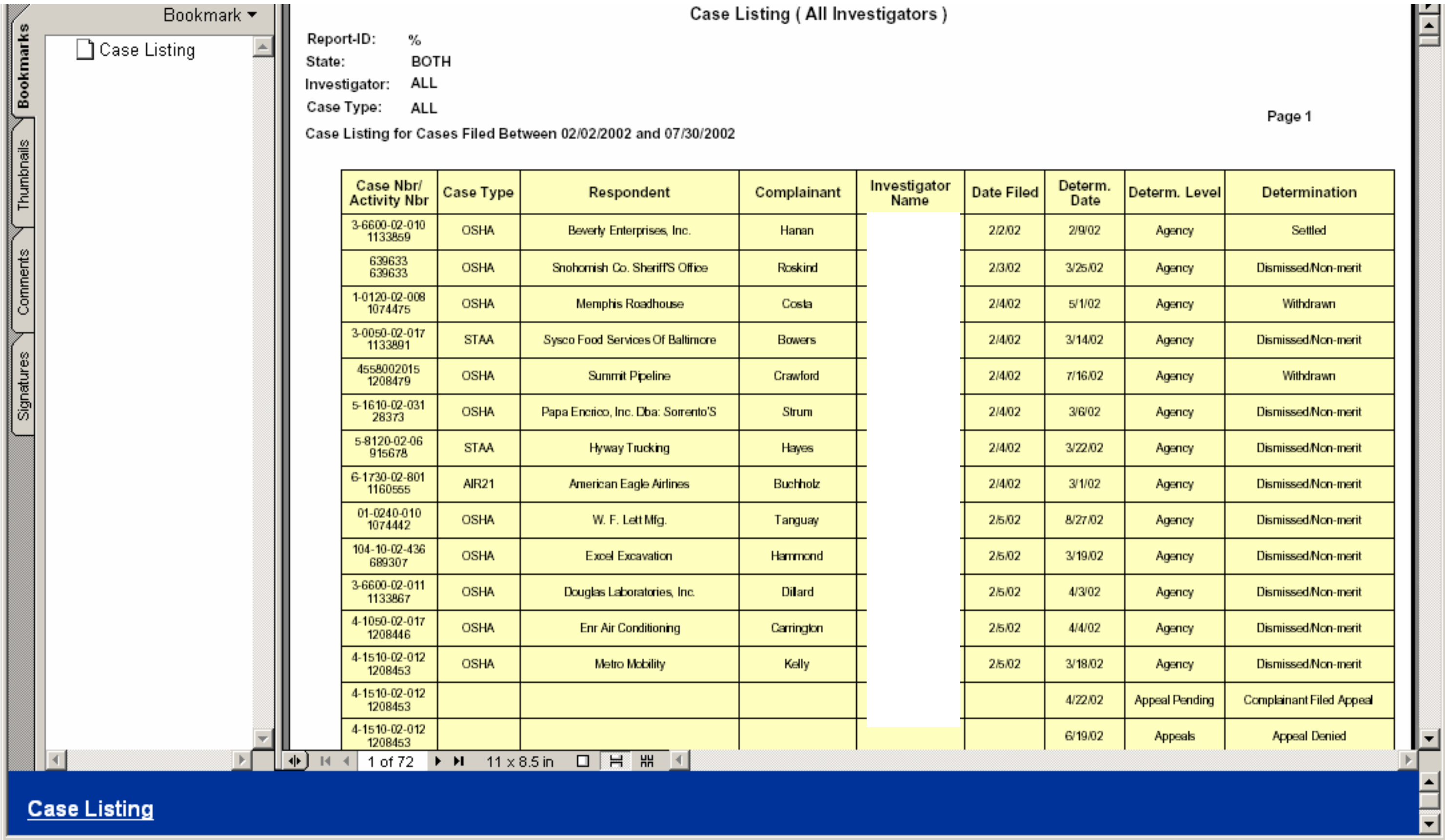
- Case Type – Enter a statute description to limit the output to cases pursued under that statute or an asterisk to include all case types in the report. You cannot leave this prompt blank; there is no system default. Click the <Show Values> button to choose the case type from a pick list.

- Federal or State Data – Enter an asterisk to search for both Federal and State data, an F for only Federal data or an S for only State data.

- RID – Enter a RID or choose a RID from the pick list.

- Investigator ID – Enter an investigator ID to limit the output to those cases assigned to that investigator or an asterisk to include cases for all investigators.

Figure 4-4: Case Listing Report (top portion)



Case Listing (All Investigators)

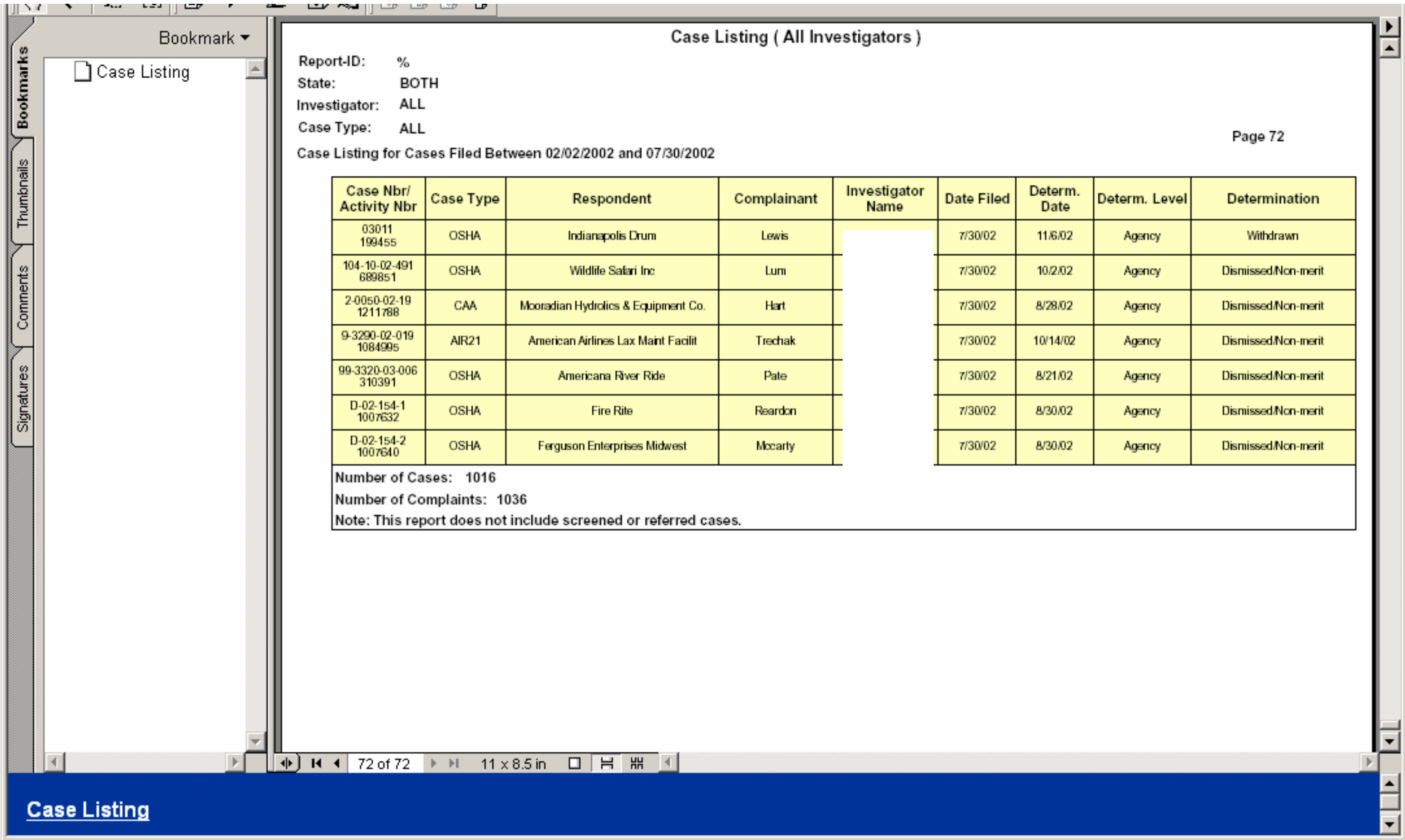
Report-ID: %
State: BOTH
Investigator: ALL
Case Type: ALL

Case Listing for Cases Filed Between 02/02/2002 and 07/30/2002

Page 1

Case Nbr/ Activity Nbr	Case Type	Respondent	Complainant	Investigator Name	Date Filed	Determ. Date	Determ. Level	Determination
3-6600-02-010 1133859	OSHA	Beverly Enterprises, Inc.	Hanan		2/2/02	2/9/02	Agency	Settled
639633 639633	OSHA	Snohomish Co. Sheriff'S Office	Roskind		2/3/02	3/25/02	Agency	Dismissed/Non-merit
1-0120-02-008 1074475	OSHA	Memphis Roadhouse	Costa		2/4/02	5/1/02	Agency	Withdrawn
3-0050-02-017 1133891	STAA	Sysco Food Services Of Baltimore	Bowers		2/4/02	3/14/02	Agency	Dismissed/Non-merit
4558002015 1208479	OSHA	Summit Pipeline	Crawford		2/4/02	7/16/02	Agency	Withdrawn
5-1610-02-031 28373	OSHA	Papa Encrico, Inc. Dba: Sorrento'S	Strum		2/4/02	3/6/02	Agency	Dismissed/Non-merit
5-8120-02-06 915678	STAA	Hyway Trucking	Hayes		2/4/02	3/22/02	Agency	Dismissed/Non-merit
6-1730-02-801 1160555	AIR21	American Eagle Airlines	Buchholz		2/4/02	3/1/02	Agency	Dismissed/Non-merit
01-0240-010 1074442	OSHA	W. F. Lett Mfg.	Tanguay		2/5/02	8/27/02	Agency	Dismissed/Non-merit
104-10-02-436 689307	OSHA	Excel Excavation	Hammond		2/5/02	3/19/02	Agency	Dismissed/Non-merit
3-6600-02-011 1133867	OSHA	Douglas Laboratories, Inc.	Dillard		2/5/02	4/3/02	Agency	Dismissed/Non-merit
4-1050-02-017 1208446	OSHA	Enr Air Conditioning	Carrington		2/5/02	4/4/02	Agency	Dismissed/Non-merit
4-1510-02-012 1208453	OSHA	Metro Mobility	Kelly		2/5/02	3/18/02	Agency	Dismissed/Non-merit
4-1510-02-012 1208453						4/22/02	Appeal Pending	Complainant Filed Appeal
4-1510-02-012 1208453						6/19/02	Appeals	Appeal Denied

Figure 4-5: Case Listing Report (end portion showing the required calculation fields)



Case Listing (All Investigators)

Report-ID: %
State: BOTH
Investigator: ALL
Case Type: ALL

Page 72

Case Listing for Cases Filed Between 02/02/2002 and 07/30/2002

Case Nbr/ Activity Nbr	Case Type	Respondent	Complainant	Investigator Name	Date Filed	Determ. Date	Determ. Level	Determination
03011 199455	OSHA	Indianapolis Drum	Lewis		7/30/02	11/6/02	Agency	Withdrawn
104-10-02-491 689851	OSHA	Wildlife Safari Inc	Lum		7/30/02	10/2/02	Agency	Dismissed/Non-merit
2-0050-02-19 1211788	CAA	Mooradian Hydrolics & Equipment Co.	Hart		7/30/02	8/28/02	Agency	Dismissed/Non-merit
9-3290-02-019 1084995	AIR21	American Airlines Lax Maint Facilit	Trechak		7/30/02	10/14/02	Agency	Dismissed/Non-merit
99-3320-03-006 310391	OSHA	Americana River Ride	Pate		7/30/02	8/21/02	Agency	Dismissed/Non-merit
D-02-154-1 1007632	OSHA	Fire Rite	Reardon		7/30/02	8/30/02	Agency	Dismissed/Non-merit
D-02-154-2 1007640	OSHA	Ferguson Enterprises Midwest	Mccarty		7/30/02	8/30/02	Agency	Dismissed/Non-merit

Number of Cases: 1016
Number of Complaints: 1036
Note: This report does not include screened or referred cases.

4.4 CASE SUMMARY REPORT

The Case Summary report summarizes case activity and provides statistical data and other pertinent information for a user-selected time period. It is divided into three sections as follows:

- Current Case Activity. This section displays the number of cases filed and completed during the period by case type. It also displays the number of open cases and the number of cases pending longer than the statutory time frame (backlog).

- Complaint Determinations. This section displays the number of determinations issued during the period by case type; i.e., withdrawn, dismissed, merit, settled.

- Open Investigations. This section lists cases pending investigation by respondent name, complaint name, case type, date filed and the number of days pending. Backlogged cases are indicated by an asterisk (*).

This report is useful for the regular reporting of case activity and for tracking open cases. Figure 4-6 presents a sample Case Summary report.

Upon selecting the Case Summary report, you will be prompted to enter the following information. Note that you can click the <Show Values> button to choose filter criteria from a pick list, where available.

- Date Range – Enter the earliest and latest complaint filed dates in the mm/dd/yyyy format to limit the output to the specified date parameters. There are no system defaults and both dates must be entered.

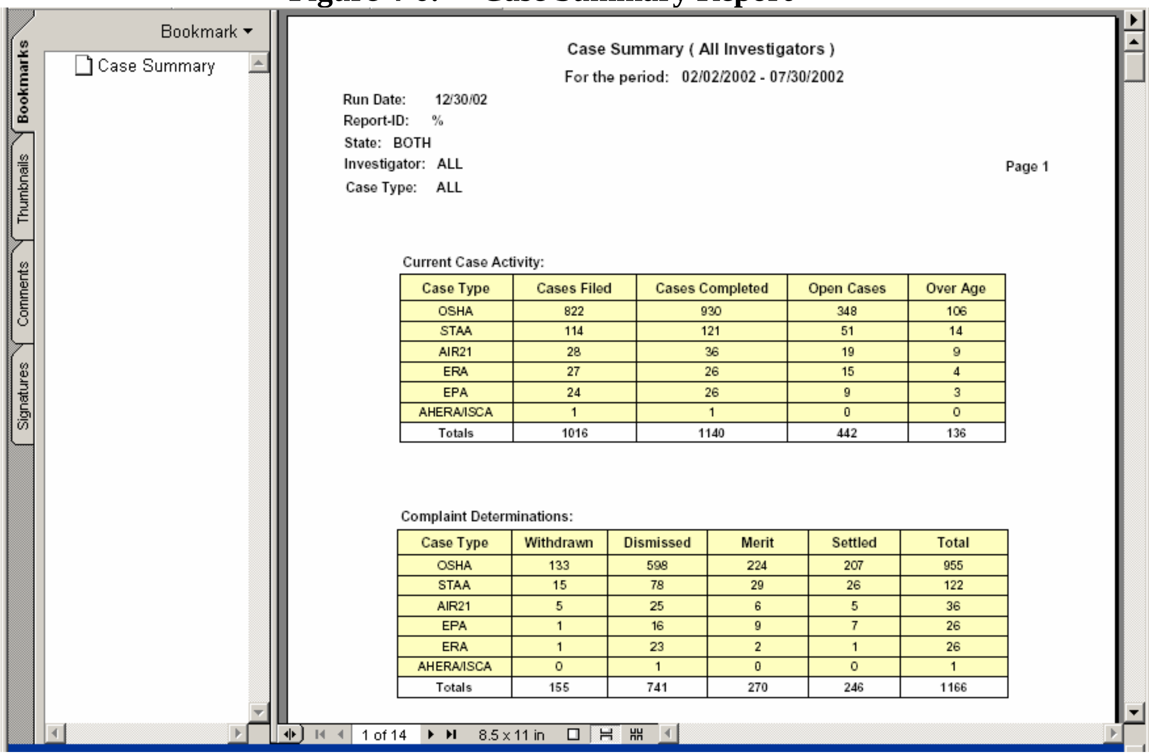
- Case Type – Enter a statute description to limit the output to cases pursued under that statute or an asterisk to include all case types in the report. You cannot leave this prompt blank; there is no system default. Click the <Show Values> button to choose the case type from a pick list.

- Federal or State Data – Enter an asterisk to search for both Federal and State data, an F for only Federal data or an S for only State data.

- RID – Enter a RID or choose a RID from the pick list.

- Investigator ID – Enter an investigator ID to limit the output to cases assigned to that investigator or an asterisk to include cases for all investigators.

Figure 4-6: Case Summary Report



Case Summary (All Investigators)

For the period: 02/02/2002 - 07/30/2002

Run Date: 12/30/02
Report-ID: %
State: BOTH
Investigator: ALL
Case Type: ALL

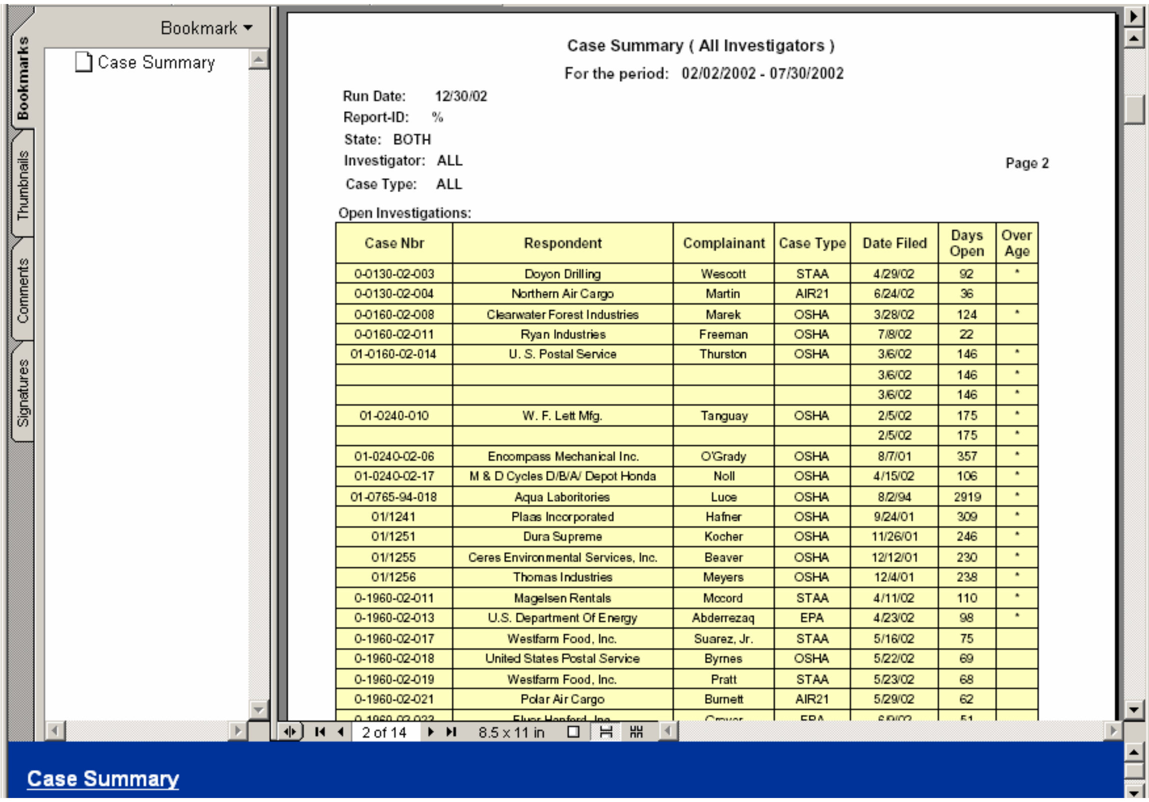
Page 1

Current Case Activity:

Case Type	Cases Filed	Cases Completed	Open Cases	Over Age
OSHA	822	930	348	106
STAA	114	121	51	14
AIR21	28	36	19	9
ERA	27	26	15	4
EPA	24	26	9	3
AHERA/ISCA	1	1	0	0
Totals	1016	1140	442	136

Complaint Determinations:

Case Type	Withdrawn	Dismissed	Merit	Settled	Total
OSHA	133	598	224	207	955
STAA	15	78	29	26	122
AIR21	5	25	6	5	36
EPA	1	16	9	7	26
ERA	1	23	2	1	26
AHERA/ISCA	0	1	0	0	1
Totals	155	741	270	246	1166



Case Summary (All Investigators)

For the period: 02/02/2002 - 07/30/2002

Run Date: 12/30/02
Report-ID: %
State: BOTH
Investigator: ALL
Case Type: ALL

Page 2

Open Investigations:

Case Nbr	Respondent	Complainant	Case Type	Date Filed	Days Open	Over Age
0-0130-02-003	Doyon Drilling	Wescott	STAA	4/29/02	92	*
0-0130-02-004	Northern Air Cargo	Martin	AIR21	6/24/02	36	
0-0160-02-008	Clearwater Forest Industries	Marek	OSHA	3/28/02	124	*
0-0160-02-011	Ryan Industries	Freeman	OSHA	7/8/02	22	
01-0160-02-014	U. S. Postal Service	Thurston	OSHA	3/6/02	146	*
				3/6/02	146	*
				3/6/02	146	*
01-0240-010	W. F. Lett Mfg.	Tanguay	OSHA	2/5/02	175	*
				2/5/02	175	*
01-0240-02-06	Encompass Mechanical Inc.	O'Grady	OSHA	8/7/01	357	*
01-0240-02-17	M & D Cycles D/B/A/ Depot Honda	Noll	OSHA	4/15/02	106	*
01-0765-94-018	Aqua Laboritories	Luce	OSHA	8/2/94	2919	*
01/1241	Plaas Incorporated	Hafner	OSHA	9/24/01	309	*
01/1251	Dura Supreme	Kocher	OSHA	11/26/01	246	*
01/1255	Ceres Environmental Services, Inc.	Beaver	OSHA	12/12/01	230	*
01/1256	Thomas Industries	Meyers	OSHA	12/4/01	238	*
0-1960-02-011	Magelsen Rentals	Mccord	STAA	4/11/02	110	*
0-1960-02-013	U.S. Department Of Energy	Abderrezaq	EPA	4/23/02	98	*
0-1960-02-017	Westfarm Food, Inc.	Suarez, Jr.	STAA	5/16/02	75	
0-1960-02-018	United States Postal Service	Byrnes	OSHA	5/22/02	69	
0-1960-02-019	Westfarm Food, Inc.	Pratt	STAA	5/23/02	68	
0-1960-02-021	Polar Air Cargo	Burnett	AIR21	5/29/02	62	

4.5 FORM 87

This option leads to a screen that displays a printable, blank Form 87.

4.6 INVESTIGATION DATA REPORT

The Investigation Data report displays a large amount of statistical data for the user-selected time period. The report is segmented as follows:

- Timeliness. This portion of the report provides numbers, percentages and averages to denote timeliness in reaching a decision at the regional level and for cases still pending determination. It also gives the percentage of cases backlogged at the end of the user-selected time period for each case type.

- Results. This section provides the number and percentage of withdrawn, dismissed, and merit complaints for each case type and the number and percentage of merit complaints that have been settled.

- Allegations/Merit. This portion of the report displays investigation results data according to the type of protected activity alleged by the complainant. For each allegation type listed in the vertical column and each case type listed horizontally, the report displays the number of complaints filed with the percentage that allegation type is relative to all allegations and the number of merit determinations found for that allegation type.

The report is useful for evaluating the aggregate results of investigations in the long term and for identifying trends over time. Figure 4-7 presents a sample Investigation Data report.

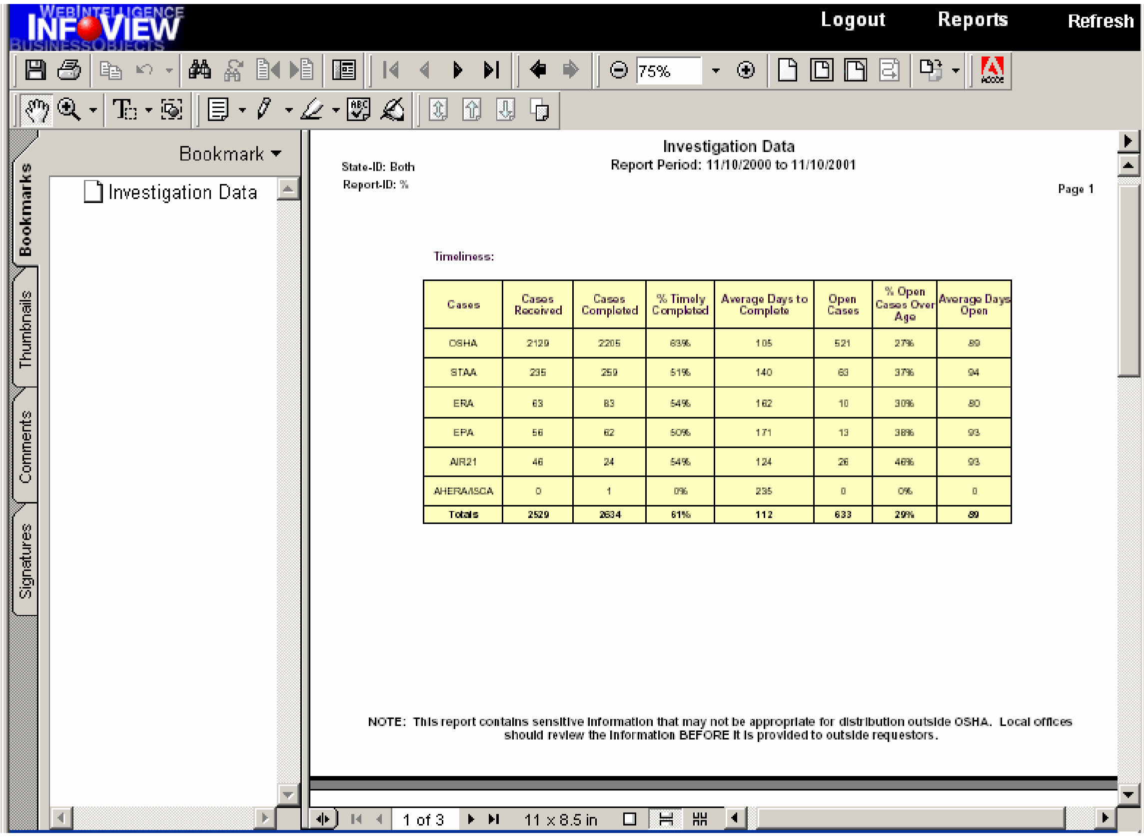
Upon selecting the Investigation Data report, you will be prompted to enter the following information. Note that you can click the <Show Values> button to choose filter criteria from a pick list, where available. No information prompts can be left blank.

- Date Range – Enter the earliest and latest complaint filed dates in the mm/dd/yyyy format to limit the output to the specified date parameters. There are no system defaults and both dates must be entered.

- Federal or State Data – Enter an asterisk to search for both Federal and State data, an F for only Federal data, or an S for only State data.

- RID – Enter a RID or choose a RID from the pick list.

Figure 4-7: Investigation Data Report (first page)



Investigation Data
Report Period: 11/10/2000 to 11/10/2001

State-ID: Both
Report-ID: %

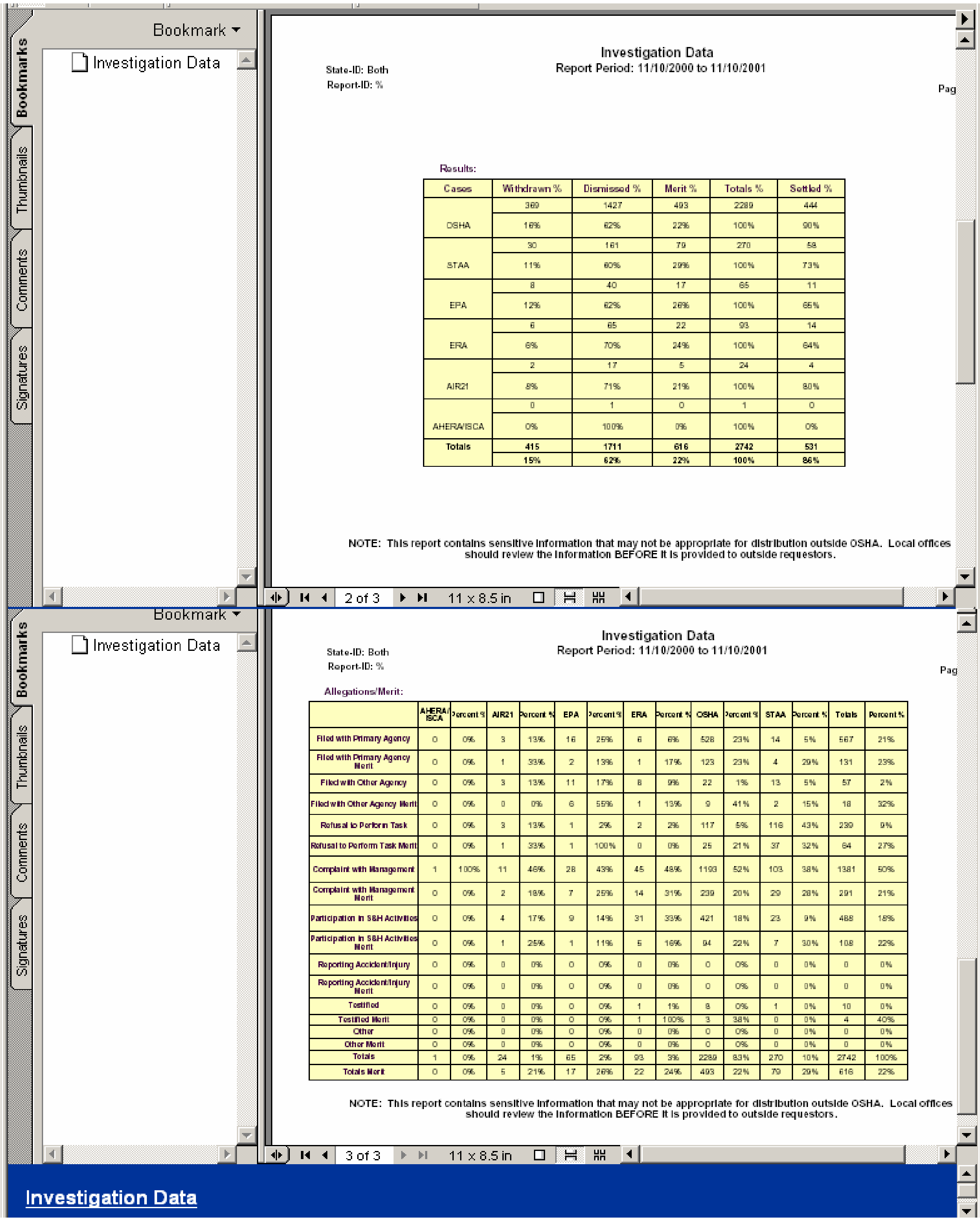
Page 1

Timeliness:

Cases	Cases Received	Cases Completed	% Timely Completed	Average Days to Complete	Open Cases	% Open Cases Over Age	Average Days Open
OSHA	2129	2205	63%	105	521	27%	89
STAA	235	259	51%	140	63	37%	94
ERA	63	83	54%	162	10	30%	80
EPA	56	62	50%	171	13	38%	93
AIR21	46	24	54%	124	26	46%	93
AHERA/ISCA	0	1	0%	235	0	0%	0
Totals	**2529**	**2634**	**61%**	**112**	**633**	**29%**	**89**

NOTE: This report contains sensitive information that may not be appropriate for distribution outside OSHA. Local offices should review the information BEFORE it is provided to outside requestors.

Figure 4-8: Investigation Data Report (second and third pages)



Investigation Data
Report Period: 11/10/2000 to 11/10/2001

State-ID: Both
Report-ID: %

Pag

Results:

Cases	Withdrawn %	Dismissed %	Merit %	Totals %	Settled %
OSHA	369	1427	493	2289	444
	16%	62%	22%	100%	90%
STAA	30	161	79	270	58
	11%	60%	29%	100%	73%
EPA	8	40	17	65	11
	12%	62%	26%	100%	65%
ERA	6	65	22	93	14
	6%	70%	24%	100%	64%
AIR21	2	17	5	24	4
	8%	71%	21%	100%	80%
AHERA/ISCA	0	1	0	1	0
	0%	100%	0%	100%	0%
Totals	415	1711	616	2742	531
	15%	62%	22%	100%	86%

NOTE: This report contains sensitive information that may not be appropriate for distribution outside OSHA. Local offices should review the information BEFORE it is provided to outside requestors.

Investigation Data
Report Period: 11/10/2000 to 11/10/2001

State-ID: Both
Report-ID: %

Pag

Allegations/Merit:

	AHERA/ISCA	Percent %	AIR21	Percent %	EPA	Percent %	ERA	Percent %	OSHA	Percent %	STAA	Percent %	Totals	Percent %
Filed with Primary Agency	0	0%	3	13%	16	25%	6	6%	528	23%	14	5%	567	21%
Filed with Primary Agency Merit	0	0%	1	33%	2	13%	1	17%	123	23%	4	29%	131	23%
Filed with Other Agency	0	0%	3	13%	11	17%	8	9%	22	1%	13	5%	57	2%
Filed with Other Agency Merit	0	0%	0	0%	6	55%	1	13%	9	41%	2	15%	18	32%
Refusal to Perform Task	0	0%	3	13%	1	2%	2	2%	117	5%	116	43%	239	9%
Refusal to Perform Task Merit	0	0%	1	33%	1	100%	0	0%	25	21%	37	32%	64	27%
Complaint with Management	1	100%	11	46%	28	43%	45	48%	1193	52%	103	38%	1381	50%
Complaint with Management Merit	0	0%	2	18%	7	25%	14	31%	239	20%	29	28%	291	21%
Participation in S&H Activities	0	0%	4	17%	9	14%	31	33%	421	18%	23	9%	488	18%
Participation in S&H Activities Merit	0	0%	1	25%	1	11%	5	16%	94	22%	7	30%	108	22%
Reporting Accident/Injury	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Reporting Accident/Injury Merit	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Testified	0	0%	0	0%	0	0%	1	1%	8	0%	1	0%	10	0%
Testified Merit	0	0%	0	0%	0	0%	1	100%	3	38%	0	0%	4	40%
Other	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Other Merit	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%	0	0%
Totals	1	0%	24	1%	65	2%	93	3%	2289	83%	270	10%	2742	100%
Totals Merit	0	0%	5	21%	17	26%	22	24%	493	22%	79	29%	616	22%

NOTE: This report contains sensitive information that may not be appropriate for distribution outside OSHA. Local offices should review the information BEFORE it is provided to outside requestors.

4.7 LENGTH OF INVESTIGATION REPORT

The Length of Investigation report provides pertinent information for cases where the date of decision at the State investigation or Regional level falls within the user-specified date range and gives the number of days it took to complete the investigation. If the investigation took longer than the statutory time frame, the case is marked with an asterisk (*). The report may be run for all case types or for a user-selected case type.

This report is useful for identifying which cases required the most time and any patterns which may exist relative to case investigation times. Figures 4-8 and 4-9 present a sample Length of Investigation report.

Upon selecting the Length of Investigation report, you will be prompted to enter the following information. Note that you can click the <Show Values> button to choose filter criteria from a pick list, where available. No information prompts can be left blank.

- Date Range – Enter the earliest and latest complaint filed dates in the mm/dd/yyyy format to limit the output to the specified date parameters. There are no system defaults and both dates must be entered.

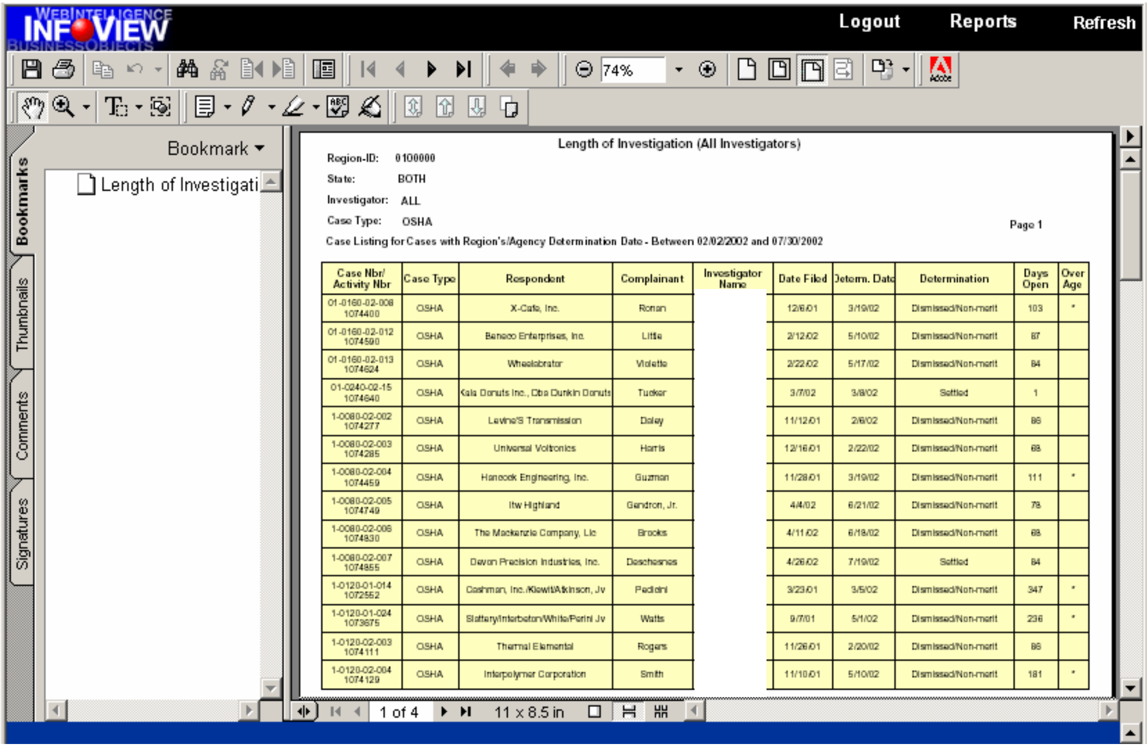
- Case Type – Enter a statute description to limit the output to cases pursued under that statute or an asterisk to include all case types in the report. You cannot leave this prompt blank; there is no system default. Click the <Show Values> button to choose the case type from a pick list.

- Federal or State Data – Enter an asterisk to search for both Federal and State data, an F for only Federal data or an S for only State data.

- RID – Enter a RID or choose a RID from the pick list.

- Investigator ID – Enter an investigator ID to limit the output to cases assigned to that investigator or an asterisk to include cases for all investigators.

Figure 4-9: Length of Investigation Report (top portion)



Length of Investigation (All Investigators)

Region-ID: 0100000

State: BOTH

Investigator: ALL

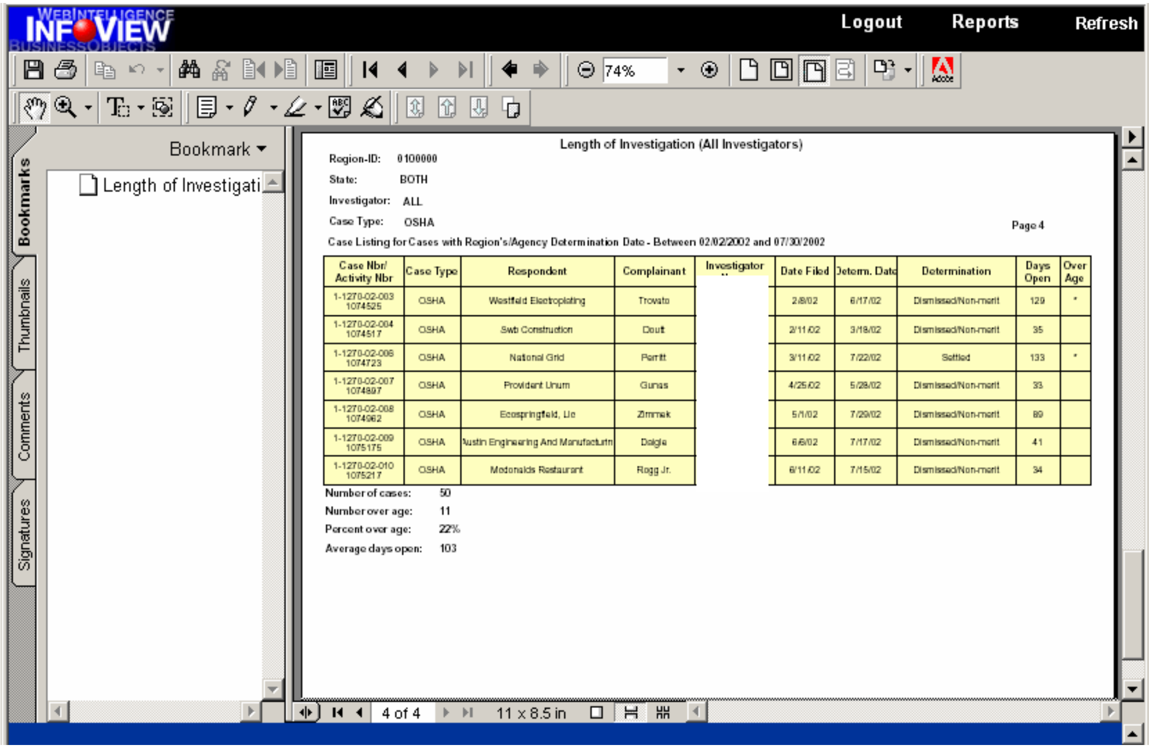
Case Type: OSHA

Page 1

Case Listing for Cases with Region's/Agency Determination Date - Between 02/02/2002 and 07/30/2002

Case Nbr/ Activity Nbr	Case Type	Respondent	Complainant	Investigator Name	Date Filed	Determ. Date	Determination	Days Open	Over Age
01-0160-02-008 1074400	OSHA	X-Cafe, Inc.	Ronan		12/6/01	3/19/02	Dismissed/Non-merit	103	*
01-0160-02-012 1074590	OSHA	Beneco Enterprises, Inc.	Little		2/12/02	5/10/02	Dismissed/Non-merit	87	
01-0160-02-013 1074624	OSHA	Wheelabrator	Violette		2/22/02	5/17/02	Dismissed/Non-merit	84	
01-0240-02-15 1074640	OSHA	Kala Donuts Inc., Dba Dunkin Donuts	Tucker		3/7/02	3/8/02	Settled	1	
1-0080-02-002 1074277	OSHA	Levine'S Transmission	Daley		11/12/01	2/6/02	Dismissed/Non-merit	86	
1-0080-02-003 1074285	OSHA	Universal Voltronics	Harris		12/16/01	2/22/02	Dismissed/Non-merit	68	
1-0080-02-004 1074459	OSHA	Hancock Engineering, Inc.	Guzman		11/28/01	3/19/02	Dismissed/Non-merit	111	*
1-0080-02-005 1074749	OSHA	Itw Highland	Gendron, Jr.		4/4/02	6/21/02	Dismissed/Non-merit	78	
1-0080-02-006 1074830	OSHA	The Mackenzie Company, Llc	Brooks		4/11/02	6/18/02	Dismissed/Non-merit	68	
1-0080-02-007 1074855	OSHA	Devon Precision Industries, Inc.	Deschesnes		4/26/02	7/19/02	Settled	84	
1-0120-01-014 1072552	OSHA	Cashman, Inc./Kiewit/Atkinson, Jv	Pedicini		3/23/01	3/5/02	Dismissed/Non-merit	347	*
1-0120-01-024 1073675	OSHA	Slattery/Interbeton/White/Perini Jv	Watts		9/7/01	5/1/02	Dismissed/Non-merit	236	*
1-0120-02-003 1074111	OSHA	Thermal Elemental	Rogers		11/26/01	2/20/02	Dismissed/Non-merit	86	
1-0120-02-004 1074129	OSHA	Interpolymer Corporation	Smith		11/10/01	5/10/02	Dismissed/Non-merit	181	*

Figure 4-10: Length of Investigation Report (end portion)



4.8 PENDING CASES REPORT

The Pending Cases report lists all cases that are pending investigation or post-investigation actions. It provides pertinent information, including the previous determination date, when applicable, and the number of days the case has been pending investigation or pending further determination from the previous level of review. Figure 4-10 presents a sample Pending Cases report.

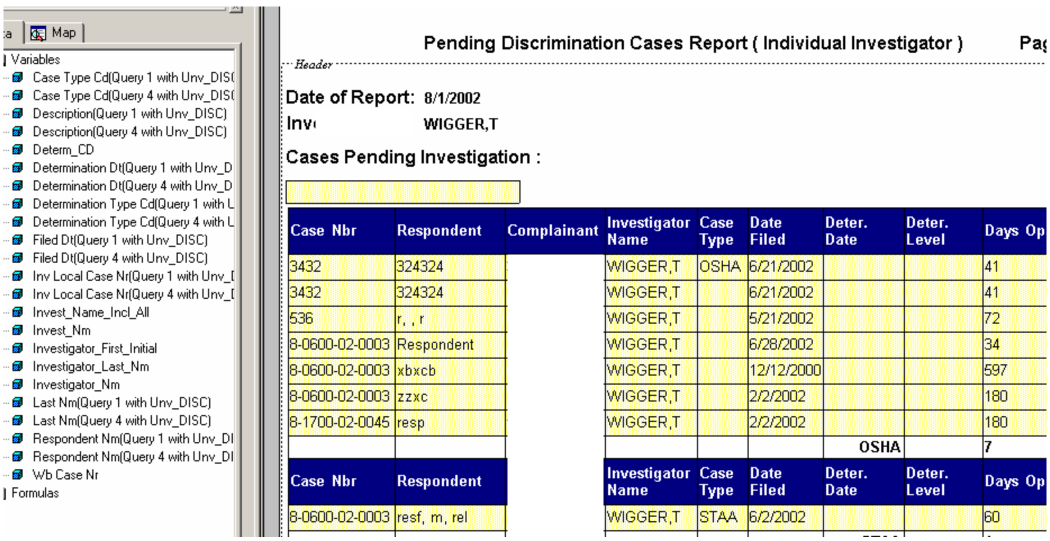
Upon selecting the Pending Cases report, you will be prompted to enter the following information. You can click the <Show Values> button to choose filter criteria from a pick list. No information prompts can be left blank.

- Federal or State Data – Enter an asterisk to search for both Federal and State data, an F for only Federal data or an S for only State data.

- RID – Enter a RID or choose a RID from the pick list.

- Investigator ID – Enter an investigator ID to limit the output to cases assigned to that investigator or an asterisk to include cases for all investigators.

Figure 4-11: Pending Cases Report



Case Nbr	Respondent	Complainant	Investigator Name	Case Type	Date Filed	Deter. Date	Deter. Level	Days Op
3432	324324		WIGGER,T	OSHA	6/21/2002			41
3432	324324		WIGGER,T		6/21/2002			41
536	r, , r		WIGGER,T		5/21/2002			72
8-0600-02-0003	Respondent		WIGGER,T		6/28/2002			34
8-0600-02-0003	xbxcb		WIGGER,T		12/12/2000			597
8-0600-02-0003	zzxc		WIGGER,T		2/2/2002			180
8-1700-02-0045	resp		WIGGER,T		2/2/2002			180
						OSHA		7

Case Nbr	Respondent	Investigator Name	Case Type	Date Filed	Deter. Date	Deter. Level	Days Op
8-0600-02-0003	resf, m, rel	WIGGER,T	STAA	6/2/2002			60

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CHAPTER 5

VALIDATION RULES FOR TRACKING CASES

5.1 CASE STATUS

If a case has a Complaint Filed Date and a Final Determination is not present, the case is defined as being **Open**.

If a case has a Complaint Filed Date and all complainants have a Final Determination present, the case is defined as being **Closed**.

If a case has a Complaint Filed Date and a Region/Agency Determination is not present, the case is defined as being **Pending Investigation**. This is a subset of Open cases.

If a case has a Complaint Filed Date and a Region/Agency Determination is present but a Final Determination is not present, the case is defined as being **Post Investigation.** This is a subset of Open cases.

If a case is Post Investigation and is an OSHA, AHERA or ISCA case type (and the latest or last determination is at the "R" level and the "L" Determination Code or at the "S" level and the "L" Determination Code), the case is **Pending Solicitor**. This is a subset of Open cases and Post Investigation cases.

If a case is Post Investigation and is an OSHA, AHERA or ISCA case type (and the latest or last determination is at the "P" level), the case is **Pending Appeal**. This is a subset of Open cases and Post Investigation cases.

If a case is Post Investigation and is not an OSHA, AHERA or ISCA case type (and a "P" level determination is present but a Final Determination is not present), the case is **Pending ALJ**. This is a subset of Open cases and Post Investigation cases.

5.2 DETERMINATION FLOW

Figures 5-1 through 5-3 present possible sequences for determination options in the determination menu

Figure 5-1: STAA, ERA, AIR21 and EPA Determination Flow (aligned with the process indicated on the right side of Figure1-1)

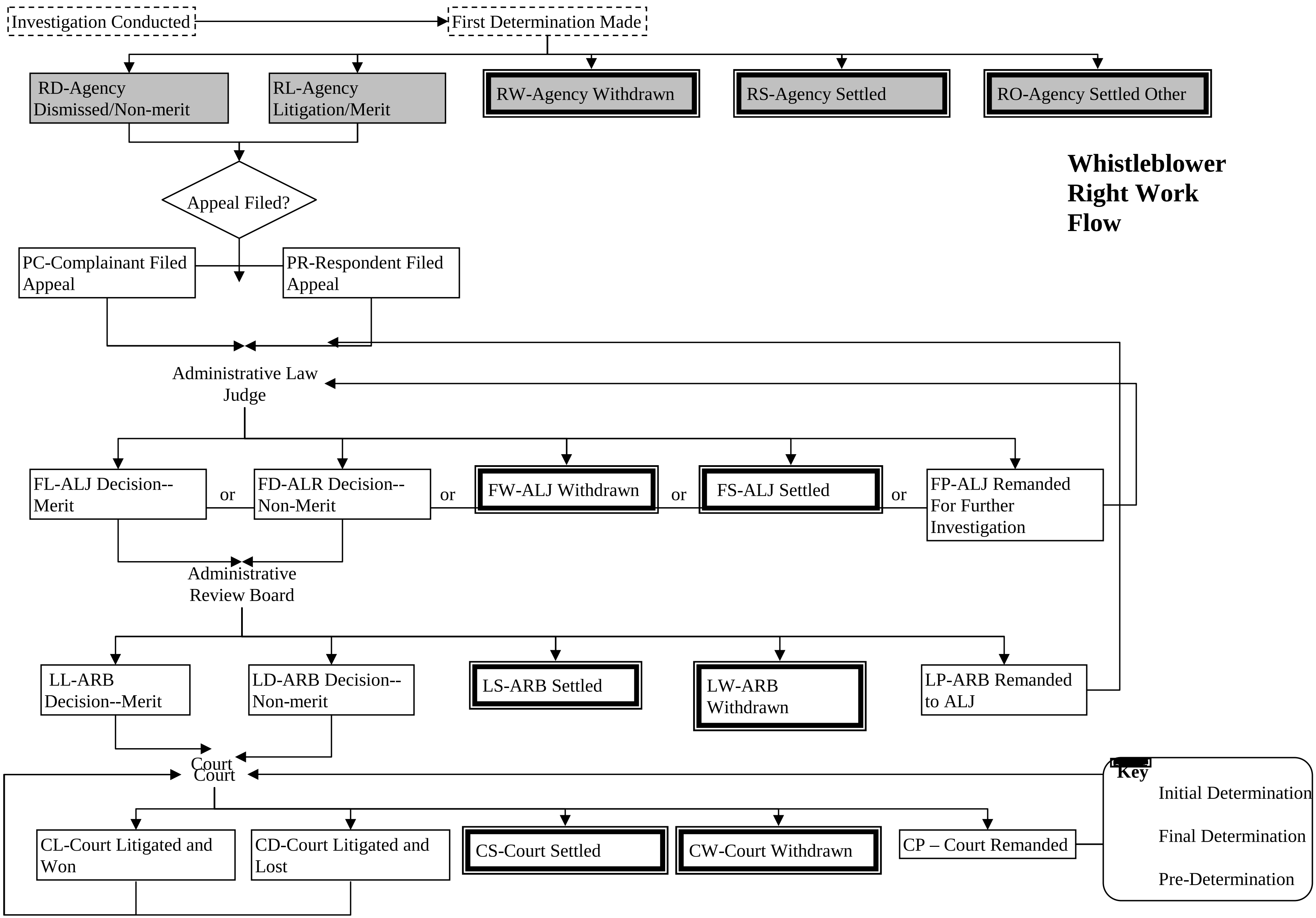


Figure 5-2: Alternative Determination Flow (aligned with the alternative workflow indicated on the right side of Figure 1-1)

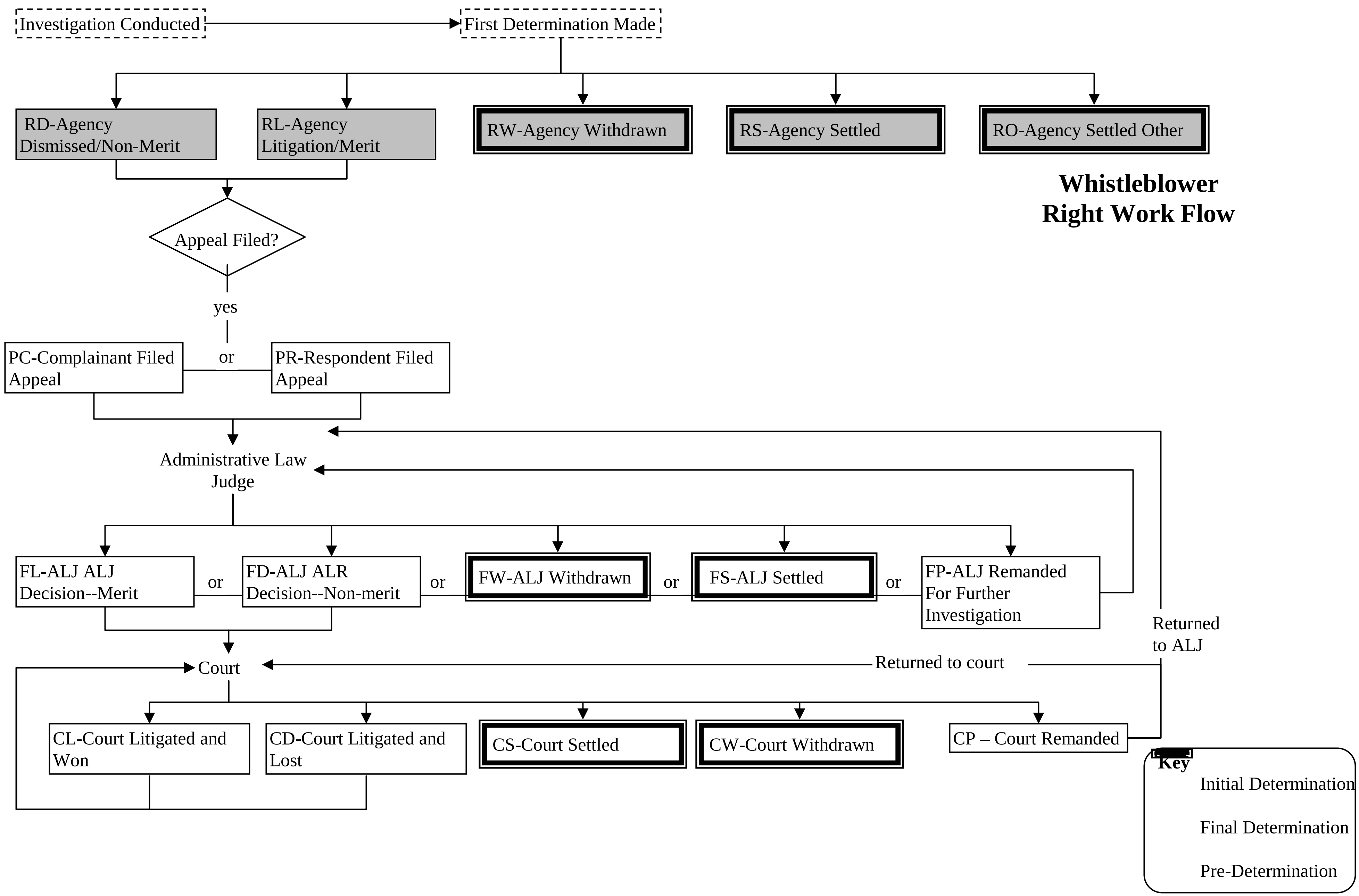
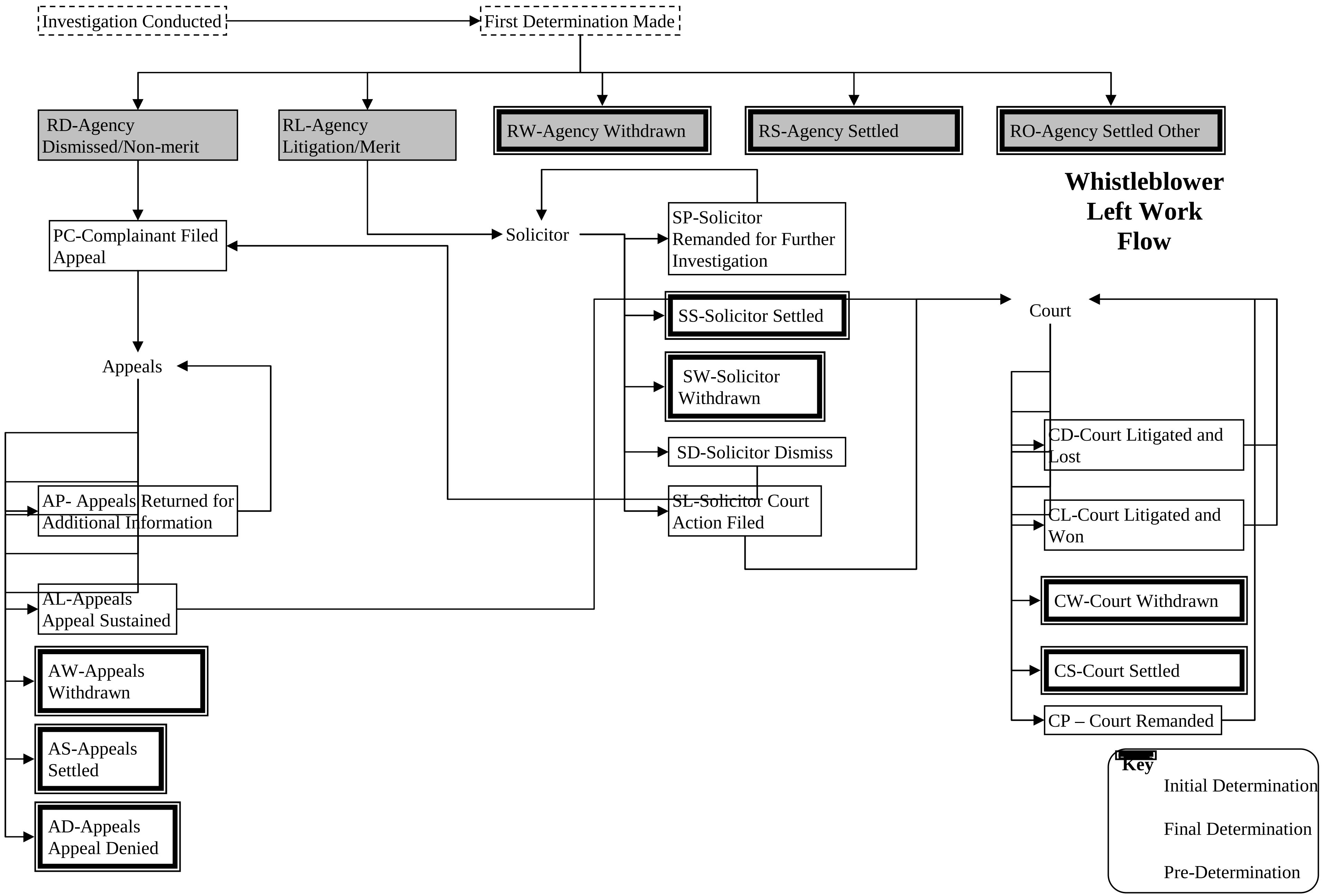


Figure 5-3: Determination Flow for OSHA, AHERA, and ISCA Cases (aligned with the process indicated on the left side of Figure 1-1)



5.3 LOCAL CASE NUMBER

The **Local Case Number** must use a mask of X-XXXX-XX-XXX for federal offices.

- The first character must contain a number 1-0 to represent the region code.
- The third through sixth characters must contain the Area Office code. A list of valid codes, by Region, is provided in the tables below.
- The eighth and ninth characters must contain the fiscal year.
- The eleventh through thirteenth characters must contain a sequential number.

The sequential number must be unique by the Area Office AND fiscal year.
The sequential number must increment when a record is added.
The sequential number must be able to be overwritten.
Sequential numbering should use available numbers if a preceding case has been deleted.
The **Local Case Number** is optional for states and will not be formatted.
The **Local Case Number** is required for federal offices.

If the state is a **State Plan** state, then the Local Case number is not generated from the **City Code** list and the state can enter in its own unique number.

5.3.1 Region 1, Boston

State	Area Office	Code
Connecticut	Bridgeport	0080
Connecticut	Hartford	0280
Maine	Bangor	0250
Maine	Portland (filed with Bangor)	0250
Massachusetts	North Boston (Methuen)	0120
Massachusetts	South Boston (Braintree)	0125
Massachusetts	Springfield	1270
New Hampshire	Concord	0070
Rhode Island	Providence	0190

5.3.2 Region 2, New York

State	Area Office	Code
Puerto Rico	Puerto Rico	0964
New Jersey	Avenel	2140
New Jersey	Marlton	1150
New Jersey	Parsippany	2585
New York	Albany	0050

New York	Bayside	4174
New York	Buffalo	0750
New York	Hasbrouck Heights	1750
New York	Long Island	2600
New York	Manhattan	4173
New York	Syracuse	6010
New York	Tarrytown	6040

5.3.3 Region 3, Philadelphia

State	Area Office	City Code
Delaware	Wilmington	0490
Maryland	Baltimore	0050
Pennsylvania	Allentown	0110
Pennsylvania	Erie	2640
Pennsylvania	Harrisburg	3500
Pennsylvania	Philadelphia	6540
Pennsylvania	Pittsburgh	6600
Pennsylvania	Wilkes-Barre	9340
Virginia	Norfolk	1760
West Virginia	Charleston	0480

5.3.4 Region 4, Atlanta

State	Area Office	Code
Alabama	Birmingham	0350
Alabama	Mobile	2100
Florida	Fort Lauderdale	1050
Florida	Jacksonville	1510
Florida	Tampa	2950
Georgia	Atlanta East (Tucker)	5580
Georgia	Atlanta West (Smyrna)	5070
Georgia	Savannah	4910
Kentucky	Frankfort	1221
Mississippi	Jackson	1220
N. Carolina	Raleigh	3750
S. Carolina	Columbia	0520
Tennessee	Nashville	1760

5.3.5 Region 5, Chicago

State	Area Office	Code
Illinois	Calumet City	1260
Illinois	Chicago North (Des Plaines)	2330
Illinois	Fairview Heights	2962
Illinois	North Aurora	0460
Illinois	Peoria	6850
Indiana	Indianapolis	2210
Michigan	Lansing	2700
Minnesota	Minneapolis	4760
Ohio	Cincinnati	1610
Ohio	Cleveland	1680
Ohio	Columbus	1800
Ohio	Toledo	8120
Wisconsin	Appleton	0170
Wisconsin	Eau Claire	1470
Wisconsin	Madison	2780
Wisconsin	Milwaukee	3100

5.3.6 Region 6, Dallas

State	Area Office	Code
Arkansas	Little Rock	2320
Louisiana	Baton Rouge	0150
New Mexico	Albuquerque	0030
Oklahoma	Oklahoma City	3550
Texas	Austin	0330
Texas	Corpus Christi	1550
Texas	Dallas	1730
Texas	El Paso (filed with Lubbock)	4140
Texas	Fort Worth	2450
Texas	Houston North	3280
Texas	Houston South	3285
Texas	Lubbock	4140

5.3.7 Region 7, Kansas City

State	Area Office	Code
Iowa	Des Moines	2260
Kansas	Wichita	5880

Missouri	Kansas City	4120
Missouri	St. Louis	7080
Nebraska	Omaha	3620

5.3.8 Region 8, Denver

State	Area Office	Code
Colorado	Denver	0600
Colorado	Englewood	0740
Montana	Billings	0100
North Dakota	Bismarck	0370
Utah/Wyoming	Salt Lake	1700

5.3.9 Region 9, San Francisco

State	Area Office	Code
Arizona	Phoenix	0370
California	San Francisco	3290
Hawaii	Honolulu	2400
Nevada	Carson City	0050

5.3.10 Region 10, Seattle

State	Area Office	Code
Alaska	Anchorage	0130
Idaho	Boise	0160
Oregon	Portland	1650
Washington	Seattle (Bellevue)	1960