





COMPLAINTS AND REFERRALS



OSHA
Express™
Powered by ACS Technology

The fast, easy, user-friendly All-In-One solution
for OSHA state-plan states

 Fast	 Intuitive	 Feature-Rich
<small>Makes use of the latest database and development environments for unparalleled speed</small>	<small>Well-designed interfaces that are ergonomically suited for easy and efficient processing</small>	<small>State-of-the-art technology that streamlines workflow and business processes</small>

Secure → Simple → Streamlined

Complaints and Referrals

Complaints related to safety and health conditions in a workplace can be received from current or former employees, or people who represent employees at a workplace. Complaints can be received via phone, fax, email or by a letter. The OSHA Express system provides the Complaint interface which is used to track the complaints that are logged and tracked by OSHA.

Referrals are similar to complaints in that they are reports received from other parties related to safety and health conditions in a workplace. Unlike complaints, which are typically received from current or former employees, a referral may be from the employer, unassociated third party (e.g., doctor, law enforcement, OSHA Consultation, media, etc.). Referrals can be received via phone, fax, email or by a letter. The OSHA Express system provides the Referral interface to track the referrals that are logged and tracked by OSHA.

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Complaint Lookup

The Complaint Lookup interface is the primary window used to search for existing complaints and to create new complaints. The Complaint Lookup interface can be launched from the Complaint Lookup menu item under the Desktop menu or from the Complaint Lookup toolbar icon. Complaints that have been previously created and routed can also be accessed via the workflow queue functionality.

The screenshot shows the 'Complaint Lookup' window. At the top, there's a 'Search Criteria' section with fields for 'Complaint' (a dropdown menu), 'Supervisor' (a dropdown menu with 'All' selected), 'Opt #' (a text field), 'Date Range' (two date pickers), 'Establishment' (a text field), 'Address' (a text field), 'Site' (a radio button), 'Mail' (a radio button), 'Name' (a radio button), 'Soundex' (a radio button), 'Complainant Last Name' (a text field), and 'First Name' (a text field). A 'Retrieve' button is located to the right of these fields. Below the search criteria is a table with columns: 'Complaint', 'Sup', 'Opt #', 'Comp Date', 'Saf', 'Hth', 'F', 'Val', 'IP', 'Clo', 'Establishment', 'Address', and 'Final'. The table is currently empty. At the bottom of the window, there are three buttons: 'Select', 'New', and 'Establish'.

The Complaint Lookup interface accepts the following search criteria to search for existing complaints:

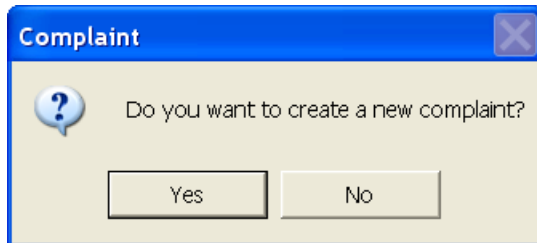
- Complaint Number
- Supervisor CSHO ID
- Optional Complaint Number
- Complaint Received Date Range
- Establishment Name
- Establishment Site Address
- Complaint Last Name
- First Name

The user can enter search criteria and click the Retrieve button to retrieve any complaints that match the search request. Any entries that are listed can either be selected and double-clicked, or the user can click the Select button to launch the complaint interface. The Establish button will display the details for the establishment associated with the currently highlighted complaint.

The New button is used to launch the Complaint interface to create a new complaint.

Complaint Interface

The user can click the New button on the Complaint Lookup interface to create a new complaint. They will be prompted as to whether they want to continue with the creation of a new complaint.



A complaint is defined as either non-formal or formal. It will normally start out as a non-formal complaint. The complaint will become a formal complaint when the OSHA-7 form is signed and returned to OSHA by the complainant. We may or may not schedule an inspection when the complaint is non-formal, but will always follow up with an inspection if it becomes a formal complaint. An assignment will be made with the complaint referenced as a related activity.

The Complaint window is comprised of four tabs.

- Complaint Tab
- Details Tab
- Emphasis/Initiatives Tab (typically not used for complaints)
- OSHA File Tab (please reference OSHA File chapter)

Complaint Tab

The first task when a new complaint is created is to associate the complaint with an establishment by clicking the Establishment button. See the Establishment Processing section for details.

Complaint Form

Complaint - 209643774

Complaint Number: 209643774 Establishment: Establishment
Complaint Date: 08/15/2019

Complaint Details Emphasis/Initiatives OSHA File Complaint Info

5. Mgmt Official
7. Type of Business
10. Brought to the attention of:
☐ Employer ☐ Other Gov Agency (See OSHA File Notes)
11. Reveal Name * No
12. Complainant *

Complainant Information
13a. Last Name
13b. First Name
14. Phone 14b. Fax
15a. Address
15b. City
15c. State 15d. Zip
18a. Org Name
18b. Title
99. Method Rcvd
Intake Info Jackie Spangler 08/15/2019

19. Reporting ID
21. Optional Complaint No.
29. Date/Time Received * 08/15/2019 00:00 AM
31a. Safety Sup Assigned
31b. Health Sup Assigned
31x. Safety CSHO Assigned 00/00/0000
31x. Health CSHO Assigned 00/00/0000
32. Primary NAICS/SIC
33. Complaint Classification *
☐ Discrimination ☒ NAICS/SIC Xref
Safety ☐ Imminent Danger ☐ Serious ☐ Other
Health ☐ Imminent Danger ☐ Serious ☐ Other
36. Valid? * Yes
37. Formal/NonFormal *
42a. Inspection Planned? b. Priority
48. Close Complaint?
49. Employer Response

35. Optional Information

Type	ID	Value
Add		
Delete		

5. Mgmt Official. Enter the name of the management official to whom the letter should be addressed.

7. Type of Business. Enter a brief description of the business activity performed.

10. Brought to the attention of. Check the appropriate checkbox if the complaint was previously brought to the attention of the employer or another government agency. If brought to another agency, specify on the Notes sub-tab of the OSHA File tab to indicate which government agency is involved.

11. Reveal Name. Indicate if the name of the complainant can be revealed (will default to "No").

12. Complainant. Select the source of the complaint from the drop-down list.

- A Employee
- B Representative of Employee
- C Federal Safety and Health Committee
- D Other
- E Employer (State Only)
- F Family Member of Employee (State Only)

13a/b. Complainant Name. Enter the first and last name of the complainant (if known).

14/14b. Phone. Enter the phone number of the complainant (if known). Enter the Fax number (if known).

15a-d. Address, City, State, Zip. Enter the mailing address information for the complainant to receive correspondence related to the complaint. Fill in the zip code first for the city and state to be auto-populated.

18a/b. Organization Name/Title. Enter the organization and title of the complainant if they were an authorized representative of employees affected by the complaint.

19. Reporting ID. This field will pre-fill with the OSHA Enforcement RID.

21. Optional Complaint No. The optional complaint number can be filled in manually or will auto-generate an optional complaint number when the complaint is saved as “Final”.

29. Date/Time Received. Enter the date and time the complaint was received.

31a/b/x. Supervisor/CSHO Assigned. Select the safety and/or health supervisor and compliance officers assigned to investigate the complaint.

32. Primary NAICS/SIC. Enter the SIC and NAICS codes or select the appropriate SIC and NAICS codes from the drop-down lists. If the NAICS/SIC Xref checkbox is checked, only the corresponding values that go with the specified SIC or NAICS will be available in the drop-down list.

33. Complaint Classification. Click the appropriate safety and/or health checkboxes depending upon the severity of the complaint. If the complaint becomes a “Discrimination” case after the original complaint is created (e.g., an employee is disciplined or dismissed for making the complaint to OSHA), click the Discrimination checkbox. An entry will be made in the Discrimination Log for tracking the separate discrimination case.

36. Valid?. The field will default to “Yes”. Normally only valid complaints are entered into the system.

37. Formal/NonFormal. Specify whether the complaint is non-formal or formal. The complaint may change from non-formal to formal after the signed OSHA-7 form is received from the complainant.

42a/b. Inspection Planned?/Priority. Indicate whether an inspection is planned in order to investigate the complaint.

48. Close Complaint?. Check the checkbox when the complaint is ready to be closed. If there is an inspection, ensure that the related activity row for the complaint is checked for satisfying the complaint. The complaint can also be closed from the related activity row on the inspection.

49. Employer Response. Indicate if the employer response is accurate or inaccurate after the complaint is investigated.

Accurate
Inaccurate

99. Method Rcvd. Indicate the method that the complainant informed OSHA of the complaint.

Telephone
Fax
Email
Federal Email
Letter
Walk-In

NN Items.

Willing to Sign? Yes/No

Send OSHA-7 ? Yes/No

Complaint Info

The user can click the Complaint Info button to view the complaint forms. Note that there are radio buttons at the top to view/print two different forms. One is intended for the compliance officers and the other can be printed to send to the complainant.

Complaint Information

☒ Investigator ☐ OSHA-7 ☐ Employer

Different formats of the complaint form can be produced and printed

Inspection of Alleged Safety or Health Hazards

North Carolina Department of Labor Occupational Safety & Health			Complaint Number 203430988	Optional Number	
Employer Name Jons Bar and Grill				Formal/NonFormal F	
Site Location (Street, City, State, ZIP) 4 W Edenton St Raleigh NC 27603					
Mailing Address (Street, City, State, ZIP) 4 W Edenton St Raleigh NC 27603					
Management Official Bob Smith			Telephone Number 111-222-3333		
Complaint Assigned To T3994			SIC/NAICS 5812 722110		
Safety			Health		
Imminent Danger	Serious	Other	Imminent Danger	Serious X	Other
Hazard Description: Air quality in the establishment is poor. Additional complaint information is listed with the hazard description.					

Details Tab

Complaint - 209643774

Complaint Number: 209643774 Establishment: Establishment

Complaint Date: 08/15/2019

Complaint **Details** Emphasis/Initiatives OSHA File Complaint Info

8. Hazard Description * EDIT

9. Hazard Location EDIT

UPA Actions UPA Response 39. Send Letter 40. Receive Letter

Action Date	Action Type	Date Due	Communication
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Add Delete

8. Hazard Description. Enter the description of the hazardous safety or health condition as it was relayed from the complainant. Specify sufficient detail for the compliance officer to investigate during an inspection.

9. Hazard Location. Enter the location of the safety or health condition as specified by the complainant.

UPA Actions/UPA Response. This information is used to track the correspondence related to the complaint that is sent out from OSHA Enforcement. An entry for the letters and forms that are sent to the various parties (i.e. employer, complainant, etc.) should be made by clicking the “Add” button. Entries can be deleted by clicking the “Delete” button. Existing entries can be edited/updated by double-clicking the entry or by pressing the Enter key.

Note that the letter generation functionality can also be initiated from the Complaint interface by clicking either the “Document Generation” menu item under the Desktop menu or by clicking the Letters/Documents toolbar icon.



A popup window will be displayed when the “Add” button is clicked.

UPA Action

Action Date: 08/15/2019

Action Type:

Days to Respond:

Response Due: 00/00/0000

Comm Method:

Letter Type:

Reason/Other:

- A Written Request for Employer Response to Complaint/Referral
- B Reminder Letter for Complaint/Referral Inquiry (multiple levels)
- C Letter to Employer - Let Us Know When Corrected
- D Grant Extension to Employer
- E Initiate Inquiry by Phone/Email to be followed by Letter
- F Response to Inquiry Satisfactory
- G Other

Action Date. Day the request begins

Action Type. Select from the drop-down list, the type of letter/form that is being sent.

Days to Respond. If the letter requires a response, enter the number of days in which the recipient is required to respond to the letter.

40. UPA Response. The UPA Response information is used to track the complaint correspondence that is received by OSHA Enforcement. An entry for all letters and forms that are received should be made by clicking the “Add” button. Entries can be deleted by clicking the “Delete” button. Existing entries can be edited/updated by double-clicking the entry or by pressing the Enter key.

UPA Response

Response Date: 08/15/2019

Response Type:

Evaluation:

Reason/Other:

- A Complainant - Signed Complaint
- B Complainant - Disputes Employer Response
- C Complainant - Provides additional Information
- D Employer - Request for Additional Time
- E Employer - Correcting but no Time Given
- F Employer - Response with Corrective Action Described
- G Employer - Response to advise No Corrective Action Needed
- H Other - specify

Evaluation. Select an entry from the drop-down list for the evaluation of the complaint letter/form that was received.

Response Date: 08/15/2019

Response Type: [Empty]

Evaluation: [Dropdown Menu]

Reason/Other: [Empty]

Options in dropdown menu:

- A Satisfactory
- B Unsatisfactory
- C Remedying Situation
- D No Response Received

Note that correspondence and other mail that is received related to the complaint will be scanned or tiffed so that there is an imaged document available on the OSHA File tab.

Complaint - 209641901

Complaint Number: 209641901 Establishment: B. Eric Phillips, D.M.D., P.A.
 Complaint Date: 07/24/2019 805 Johns Hopkins Dr, Greenville, NC 27834

Buttons: Establishment, Complaint Info

Tabs: Complaint, Details, Emphasis/Initiatives, OSHA File

Sub-tabs: Documents, Pictures, Attachments, Notes

Activity: Current Activity, Related Activities

Date Rcvd	Description	Pages	Form	Activity	Type
07/26/2019	COMP- LETTER TO EMPLOYER	3	OS0175	209641901	C
07/26/2019	WHITE CERT MAILER	1	OS0021	209641901	C
08/02/2019	EMPLOYER RESPONSE	1	OS0002	209641901	C
08/02/2019	EMPLOYER RESPONSE	1	OS0002	209641901	C
08/02/2019	RECEIPT - GREEN CARD	1	OS0020	209641901	C
08/14/2019	COMP-CLOSE COMPLAINT EMPLOY	1	OS0165	209641901	C

When the complaint is initially saved, the user will have the option to create the workflow for the complaint. The “Route Activity” window will be launched and the user can route the complaint to the appropriate status or user Queue.

Communication Log

The Communication Log is the case file summary for all paperless files and should be updated each time an entry or communication is made.

Complaint - 209641901

Complaint Number: 209641901 Establishment: B. Eric Phillips, D.M.D., P.A.
 Complaint Date: 07/24/2019 805 Johns Hopkins Dr, Greenville, NC 27834

Complaint Details Emphasis/Initiatives OSHA File Complaint Info

Documents Pictures Attachments Notes Current Activity Related Activities

Notes **Communication Log** Audit Log

Contact Date: 07/25/2019 11:53 Type: Phone Intake: njhill 07/25/2019 11:53

Contact Name: neesia hill

Phone: Email: Add Delete

Subject: comp- letter to employer

Comments: routed to c. wood for comp-letter to employer.

#	Date/Time	Contact Name	Subject	Comments
1	07/25/19 11:53	neesia hill	comp- letter to employer	routed to c. wood for comp-letter to employer.
2	07/26/19 10:03	CW	Processing	Processed complaint letter to employer
3	07/26/19 11:31	TRobertson	Processing	Scanned and mailed complaint letter to employer.
4	08/13/19 12:55	neesia hill	comp-close complaint e	routed to c. wood for comp-close complaint employer letter
5	08/14/19 08:45	CW	Processing	Processed closing letter to employer
6	08/14/19 09:30	TRobertson	Processing	Scanned and mailed closing letter to employer

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Referrals

Referrals are similar to complaints in that they are reports received from other parties related to safety and health conditions in a workplace. Unlike complaints, which are typically received from current or former employees, a referral may be from the employer, unassociated third party (e.g., doctor, law enforcement, OSHA Consultation, etc.) or media. Referrals can be received via phone, fax, email or by a letter. The OSHA Express system provides the Referral interface to track the referrals that are logged and tracked by OSHA.

Referral Lookup

The Referral Lookup interface is the primary window to search for existing referrals and to create new referrals. The Referral Lookup interface can be launched from the Referral Lookup menu item under the Desktop menu or from the Referral Lookup toolbar icon. Referrals that have been previously created and routed can also be accessed via the workflow queue functionality.

The screenshot shows the 'Referral Lookup' window. It features a 'Search Criteria' section with fields for 'Referral', 'Supervisor' (set to 'All'), 'Date Range' (from '00/00/0000' to '00/00/0000'), 'Establishment', and 'Address'. There are radio buttons for 'Site' and 'Mail', and a 'Retrieve' button. Below the search criteria is a table with columns: Referral, Sup, Ref Date, Saf, Hth, Pri, IP, Clo, Establishment, Address, and Final. The table is currently empty. At the bottom are buttons for 'Select', 'New', and 'Establish'.

Referral	Sup	Ref Date	Saf	Hth	Pri	IP	Clo	Establishment	Address	Final
----------	-----	----------	-----	-----	-----	----	-----	---------------	---------	-------

The Referral Lookup interface accepts the following search criteria to search for existing referrals:

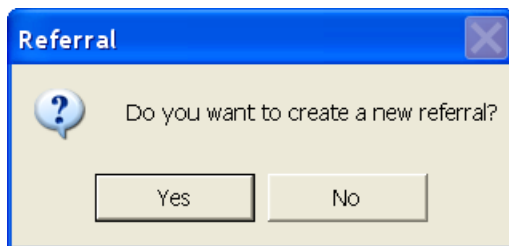
- Referral Number
- Supervisor
- Referral Received Date Range
- Establishment Name
- Establishment Site Address

The user can enter search criteria and click the Retrieve button to retrieve any referrals that match the search request. Any entries that are listed can either be selected and double-clicked or the user can click the Select button to launch the referral interface. The Establish button will display the details for the establishment associated with the currently highlighted referral.

The New button is used to launch the Referral interface to create a new referral.

Referral Interface

The user can click the New button on the Referral Lookup interface to create a new referral. They will be prompted as to whether they want to continue with the creation of a new referral.



An assignment will be made with the referral referenced as a related activity.

The Referral window is comprised of three tabs.

- Referral Tab
- Emphasis/Initiatives Tab (typically not used for referrals)
- OSHA File Tab (please reference OSHA File chapter)

Referral Tab

The first task when a new referral is created is to associate the referral with an establishment by clicking the Establishment button. See the Establishment Processing section for details.

Referral - 203461884

Referral Number: 203461884 Establishment: INDUSTRIAL FABRICATORS, INC.
 Referral Date: 7/5/2019 105 Chickasaw Road, Gastonia, NC 28052

Establishment

Referral Details Emphasis/Initiatives OSHA File Referral Info

1. Reporting ID: 0453720

Industry & Ownership

11. Primary NAICS/SIC: 332312 3441

12. Number Employed: 175 ☒ NAICS/SIC Xref

Source

14a. Referred By: Other

14b. CSHO/FA Code:

15. Date/Time Received: 07/05/2019 08:00 AM

90. Employer Reported: Yes

91. Rapid Response (RRI):

92. Event Date/Time: 07/03/2019 06:06 PM

99. Contact Name: Amy Shirley
 Title: Safety Manager
 Address:
 Phone: 704 616 8328 Email: amy.shirley@ifabrication

Intake Info: Deborah Samad 07/05/2019

17. Referral Classification

Safety: ☐ Imminent Danger ☒ Serious ☐ Other

Health: ☐ Imminent Danger ☐ Serious ☐ Other ☐ Migrant

93. Number Hospitalized: 1

94. Number Amputations:

95. Number Eye Injuries:

Referral Action

21a. Safety Sup Assigned:

21b. Health Sup Assigned: Cagle, Jennie

22a. Inspection Planned? Yes b. Priority:

24. Transfer Date: 00/00/0000

25a. Transfer To:

25b. Rpt ID/FA Code:

28. Close Referral: ☒

29. Optional Information

Type	ID	Value
N	20	Complaint desk called employer, (7/5/19, 9:03 AM),
N	20	and left voice message request for details of

Add Delete

1. Reporting ID. Pre-fills with the OSHA Enforcement RID.

11. Primary NAICS/SIC. Enter the SIC and NAICS codes or select the appropriate SIC and NAICS codes from the drop-down lists. If the NAICS/SIC Xref checkbox is checked, only the corresponding values that go with the specified SIC or NAICS will be available in the drop-down list.

12. Number Employed. Enter the number of persons employed at the establishment.

14a. Referred By. Select the source of the referral from the drop-down list.

Other

- A CSHO (Within Office)
- B Federal OSHA
- C State OSH
- D Discrimination
- E Other Federal Agency
- F Consultation
- G State/Local Government
- H Media
- I Other
- J Building Inspector Referrals

14b. CSHO/FA Code. This field is only enabled when the referral is from another CSHO (within the office). Select the compliance officer (CSHO ID) from the drop-down list.

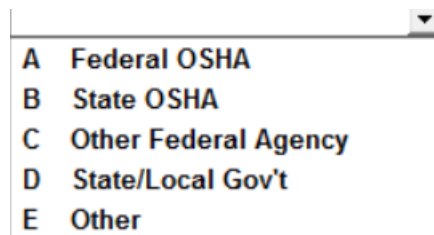
15. Date/Time Received. Enter the date and time that the referral was received (will pre-fill with the current date).

17. Referral Classification. Click the appropriate safety and/or health checkboxes depending upon the severity of the hazard alleged in the referral.

21a/b. Supervisor Assigned. Select the safety and/or health supervisor assigned to the referral.

22a/b. Inspection Planned?/Priority. Indicate whether an inspection is planned in order to investigate the referral.

24. Transfer Date. If the referral is transferred to another State Division or Agency or Federal Osha the date is entered here.



25a. Transfer To.

25b. Rpt ID/FA Code. Using the drop-down box, you will choose the code for the transfer.

28. Close Referral. Click the checkbox when the referral is ready to be closed. If there is an inspection, ensure that the related activity row for the referral is checked for satisfying the referral. The referral can also be closed from the related activity row on the inspection (Cmp/Ref Close checkbox on the Inspection interface).

29. Optional Information. Optional information codes can be entered for the referral.

90. Employer Reported. You will choose Yes or No.

91. Rapid Response (RRI). If the Complaint is an investigation, it will be YES. If an Inspection, it will be NO. Rapid response means, communication with the employer and complainant with a letter being sent to the employer for response of findings and action taken.

92. Event Date/Time. When the accident or injury took place.

Referral Info

The user can click the Referral Info button to view the referral form.

Referral of Alleged Safety or Health Hazards					
NORTH CAROLINA DEPARTMENT OF LABOR Division of Occupational Safety and Health				Referral Number 200360006	
Employer Name Jons Bar and Grill					
Site Location (Street, City, State, ZIP) 4 W Edenton St Raleigh NC 27603					
Mailing Address (Street, City, State, ZIP) 4 W Edenton St Raleigh NC 27603					
Referral Assigned To L1785				SIC/NAICS 5812 722110	
Safety			Health		
Imminent Danger	Serious X	Other	Imminent Danger	Serious	Other
Hazard Description: The was a problem with the electrical panel.					

Details Tab

Referral - 203461967

Referral Number: 203461967 Establishment: RICH FARMS, INC.
Referral Date: 7/8/2019 Tobacco field on Race Track Road, Castalia, NC 27816

Referral **Details** Emphasis/Initiatives OSHA File Referral Info

19. Hazard Description

An employee, working in a tobacco field, became ill and was transported and admitted to the hospital; an infection was suspected initially, but the employee was eventually diagnosed with heat exhaustion.

UPA Action UPA Response

Action Date	Action Type	Date Due	Communication
07/08/2019	Do Inspection = N	07/11/2019	
07/08/2019	Do Inspection = Y	00/00/0000	

Add Delete

19. Hazard Description. Enter the description of the hazardous safety or health condition as it was relayed from the referral. Specify sufficient detail for the compliance officer to investigate during an inspection.

UPA Actions/UPA Response. This information is used to track the correspondence related to the referral that is sent out from OSHA Enforcement. An entry for the letters and forms that are sent to the various parties (i.e. employer, complainant, etc.) should be made by clicking the “Add” button. Entries can be deleted by clicking the “Delete” button. Existing entries can be edited/updated by double-clicking the entry or by pressing the Enter key.

See the Complaint section above for UPA Action and Response entries.

Note that the letter generation functionality can also be initiated from the Complaint interface by clicking either the “Document Generation” menu item under the Desktop menu or by clicking the Letters/Documents toolbar icon.



Paperless Complaint and Referral Investigation Procedures

This is a Non-Formal Complaint investigation where no inspection is to be conducted. All Non-Formal complaint investigations are paperless in the OE. This includes all UPA action dates, letters sent, response(s) received and any other actions up to requiring an inspection if it becomes necessary. At that time, all information would be transferred to the inspection case file by the CSHO assigned. The procedures below will outline how to process paperless in the OE system.

Complaint

Complaint - 209521053

Complaint Number: 209521053 Establishment: Keffer, Inc.
Complaint Date: 08/17/2015 8110 Independence Blvd, Charlotte, NC 28227

Complaint Details Emphasis/Initiatives OSHA File Complaint Info

5. Mgmt Official: Unknown
7. Type of Business: Automobile Dealers
10. Brought to the attention of: ☒ Employer ☐ Other Gov Agency (See OSHA File Notes)
11. Reveal Name: No
12. Complainant: Other

19. Reporting ID: 0453730
21. Optional Complaint No.: 6000
29. Date/Time Received: 08/17/2015 12:32 PM
31a. Safety Sup Assigned:
31b. Health Sup Assigned: Peacock, Michael
31x. Safety CSHO Assigned: 00/00/0000
31x. Health CSHO Assigned: 00/00/0000
32. Primary NAICS/SIC: 441110 5511
33. Complaint Classification: ☐ Discrimination ☒ NAICS/SIC Xref
Safety: ☐ Imminent Danger ☒ Serious ☐ Other
Health: ☐ Imminent Danger ☐ Serious ☐ Other
Migrant: ☐ Migrant
36. Valid?: Yes
37. Formal/NonFormal: NonFormal
42a. Inspection Planned?: No b. Priority:
48. Close Complaint?: ☐
49. Employer Response:
99. Method Rcvd: Telephone Send OSHA-7?:
Intake Info: Victoria Parks 08/17/2015

35. Optional Information

Type	ID	Value
N	20	Caller is a customer receiving truck service.

Add Delete

Once the complaint is assigned to the District Supervisor by the Complaint Desk, and the determination is made that it is a valid non-formal complaint, it will then be addressed as an investigation (mail/phone/fax/email) using the UPA Action/UPA Response area in the Complaint Details section below.

UPA actions must be addressed in the following manner.

Complaint - 209521053

Complaint Number: 209521053 Establishment: Keffer, Inc.
Complaint Date: 08/17/2015 8110 Independence Blvd, Charlotte, NC 28227

Complaint **Details** Emphasis/Initiatives OSHA File Complaint Info

8. Hazard Description

1. Employees are complaining about experiencing heat exhaustion due the heat in the service area.

2. Employees are concerned about their health because they do not have ventilation in garage to vent the fumes from vehicles.

9. Hazard Location

Truck Center/Ram Center

UPA Actions UPA Response 39. Send Letter 40. Receive Letter

Action Date	Action Type	Date Due	Communication
08/17/2015	Do Inspection = N	00/00/0000	
08/17/2015	Valid = Y	00/00/0000	
08/17/2015	Contact with Employer	08/26/2015	Mail Letter
08/26/2015	Contact with Employer	09/03/2015	Phone Discussion

Add Delete

UPA Actions are an important part of the tracking events that set your due dates in the Dashboard for tracking of the events for each action you have set. You must set the Action Dates for specific Action Types for the tracking to work as it should and for reporting functions.

What do you set?

Do Inspection = N – Complaint Desk will set the Do Inspection=N date using 3 days. This enables the Supervisor to address the Complaint before the >5 days.

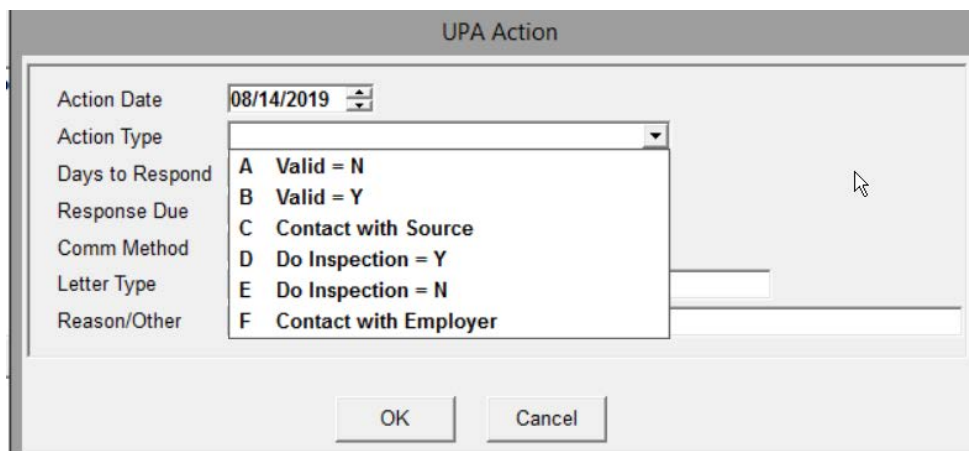
Valid = N – Due dates are not set.

Valid = Y – Due dates are not set.


Initial “Contact with the Employer” – Initial contact would have a due date along with Communication as to processing.

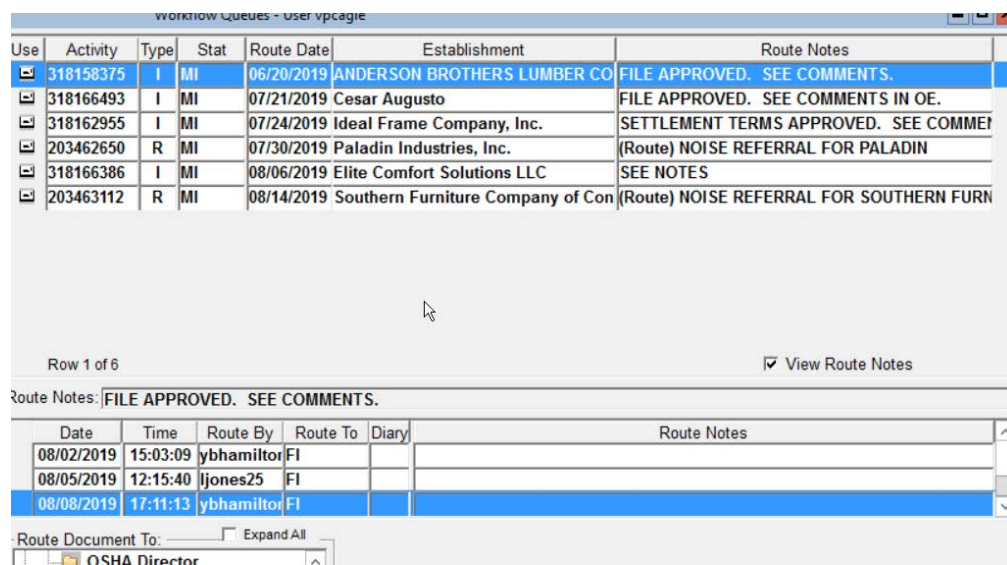
Contact with Source – This will not have a due date.

Additional “Contact with Employer” – Additional contact concerning the employer response may have a due date based on extensions for the response.



The image shows a dialog box titled "UPA Action". It contains several fields and a list of options. The "Action Date" field is set to "08/14/2019". The "Action Type" field is a dropdown menu. The "Days to Respond" field is a dropdown menu with options A, B, C, D, E, and F. The "Response Due" field is a text box. The "Comm Method" field is a text box. The "Letter Type" field is a text box. The "Reason/Other" field is a text box. The "Days to Respond" dropdown menu is open, showing the following options: A Valid = N, B Valid = Y, C Contact with Source, D Do Inspection = Y, E Do Inspection = N, and F Contact with Employer. At the bottom of the dialog box are "OK" and "Cancel" buttons.

Once the initial UPA is completed, you will then Queue  the complaint to the Administrative Specialist in your field office for processing.



The image shows a screenshot of a "Workflow Queues - User vpcagie" window. It displays a table with columns: Use, Activity, Type, Stat, Route Date, Establishment, and Route Notes. The table contains six rows of data. Below the table, there is a "Row 1 of 6" indicator and a "View Route Notes" checkbox. Below the "View Route Notes" checkbox, there is a "Route Notes" section with a table showing "Date", "Time", "Route By", "Route To", "Diary", and "Route Notes". The "Route Notes" table contains three rows of data. At the bottom of the window, there is a "Route Document To:" field and an "Expand All" button.

Use	Activity	Type	Stat	Route Date	Establishment	Route Notes
318158375	I	MI		06/20/2019	ANDERSON BROTHERS LUMBER CO	FILE APPROVED. SEE COMMENTS.
318166493	I	MI		07/21/2019	Cesar Augusto	FILE APPROVED. SEE COMMENTS IN OE.
318162955	I	MI		07/24/2019	Ideal Frame Company, Inc.	SETTLEMENT TERMS APPROVED. SEE COMMEI
203462650	R	MI		07/30/2019	Paladin Industries, Inc.	(Route) NOISE REFERRAL FOR PALADIN
318166386	I	MI		08/06/2019	Elite Comfort Solutions LLC	SEE NOTES
203463112	R	MI		08/14/2019	Southern Furniture Company of Con	(Route) NOISE REFERRAL FOR SOUTHERN FURN

Date	Time	Route By	Route To	Diary	Route Notes
08/02/2019	15:03:09	ybhamilton	FI		
08/05/2019	12:15:40	ljones25	FI		
08/08/2019	17:11:13	ybhamilton	FI		

Once **Queued**, you will go to the Communication Log and enter your comments for the referral and processing information.

Referral Number: 203459862 Establishment: American Converting, Co., Ltd, LLC
 Referral Date: 4/23/2019 1161 Burris Boulevard, Lincolnton, NC 28092 Establishment

Referral Details Emphasis/Initiatives OSHA File Referral Info

Documents Pictures Attachments Notes Current Activity Related Activities

Notes **Communication Log** Audit Log

Contact Date: 04/24/2019 08:48 Type: Other Intake: vpcagle 04/24/2019 08:48 Add
 Contact Name: Jennie Cagle Delete
 Phone: Email: Subject: Received referral
 Comments: Received referral from the complaint desk. Evaluated. Sending a written request for employer response to a referral letter to the employer.

#	Date/Time	Contact Name	Subject	Comments
1	04/24/19 08:48	Jennie Cagle	Received referral	Received referral from the complaint desk. Evaluated. Sending
2	04/24/19 08:51	Jennie Cagle	To admin for processing	Admin - send a letter to the employer.
3	04/24/19 10:44	D. Gilliam	Referral	Accident letter e-mailed to Employer.
4	05/02/19 13:46	Jennie Cagle	ER Response	Received ER response. Evaluated. Response acceptable. Oka
5	05/02/19 13:46	Jennie Cagle	To admin for closing	Admin - send a closing letter and close the referral.
6	05/03/19 14:20	D. Gilliam	Closed	Accident referral closed letter mailed to Employer.
7	05/13/19 11:32	Jennie Cagle	Closed referral	

When the response from the employer is received in the field office the Administrative Specialist will date stamp the response letter, enter the date the letter is received into the Communication Log, and Scan the response letter into the Document section. They will then send the complaint to the Supervisor/POC **Queue** with a comment “response letter received, dated and scanned”.

UPA Response Complaint

If the response is satisfactory, the Supervisor/POC will code the information using the available drop-down boxes in the “ADD” function for the response. The Supervisor/POC will close the complaint and direct the Administrative Specialist, if needed, to send a response letter by routing to the Administrative **Queue** with comment “file closed send closure letter”. **Emailed responses that come in, can be printed out, date stamped and scanned or tiffed into the Documents section by the Supervisor or POC.*

OSHA Express - Enforcement

Desktop Queues Tools Reports Administration Window Help

Complaint - 209519875

Complaint Number: 209519875 Establishment: Rainier, Inc
Complaint Date: 07/24/2015 1801 Salisbury Hwy, Statesville, NC 28677

Establishment

Complaint Details Emphasis/Initiatives OSHA File Complaint Info

8. Hazard Description

1. Employees are exposed to contaminated water which comes out of the faucets a brown color.
2. The employer has an eyewash station which is not plumbed in, preventing the employees from flushing out their eyes.
3. The fire extinguishers are not properly mounted. There are several sitting on the floor throughout the facility.
4. There is no ventilation while working near the painting tube located at the cut saw area.
5. Employees are exposed to a struck-by hazard caused by working underneath a hole in the upstairs floor in the parts

9. Hazard Location

Throughout facility, Cut saw area, Part assembly area

UPA Actions UPA Response 39. Send Letter 40. Receive Letter

Resp Date	Response Type	Evaluation
08/25/2015	Employer - Response with Corrective Action Describ	Satisfactory
09/01/2015	Employer - Response with Corrective Action Describ	Satisfactory

Add Delete

*If the response is not satisfactory, it will be coded in the UPA response using the drop-down box and assigned for inspection.

Complaint Number: 209519875 Establishment: Rainier, Inc
Complaint Date: 07/24/2015 1801 Salisbury Hwy, Statesville, NC 28677

Establishment

Complaint Details Emphasis/Initiatives OSHA File Complaint Info

8. Hazard Description

1. Employees are exposed to contaminated water which comes out of the faucets a brown color.
2. The employer has an eyewash station which is not plumbed in, preventing the employees from flushing out their eyes.
3. The fire extinguishers are not properly mounted. There are several sitting on the floor throughout the facility.
4. There is no ventilation while working near the painting tube located at the cut saw area.
5. Employees are exposed to a struck-by hazard caused by working underneath a hole in the upstairs floor in the parts

9. Hazard Location

Throughout facility, Cut saw area, Part assembly area

UPA Response

Response Date: 09/03/2015

Response Type: A Complainant - Signed Complaint
B Complainant - Disputes Employer Response
C Complainant - Provides additional Information
D Employer - Request for Additional Time
E Employer - Correcting but no Time Given
F Employer - Response with Corrective Action Described
G Employer - Response to advise No Corrective Action Needed
H Other - specify

UPA Actions 39. Send Letter 40. Receive Letter

Resp Date	Response Type	Evaluation
08/25/2015	Employer - Response with Corrective Action Describ	Satisfactory
09/01/2015	Employer - Response with Corrective Action Describ	Satisfactory

Add Delete

Placing Photos in the Pictures Section

Complaint Number: 209630342 Establishment: Minervini's NY Bagel Company
Complaint Date: 02/20/2019 1016 Old Folkstone Rd, Sneads Ferry, NC 28460

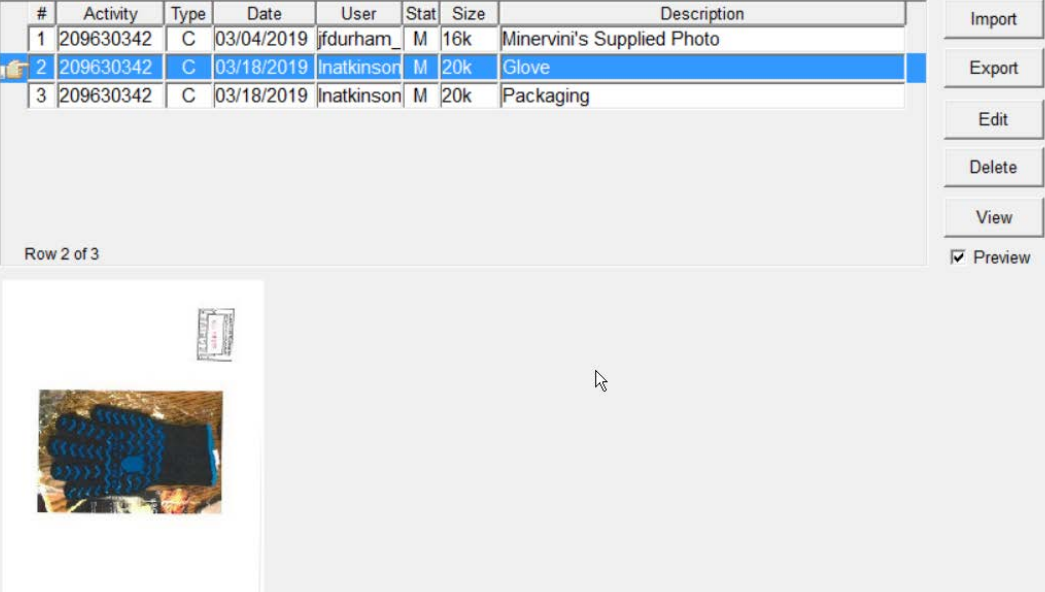
Complaint Details Emphasis/Initiatives OSHA File Complaint Info

Documents **Pictures** Attachments Notes Current Activity Related Activities

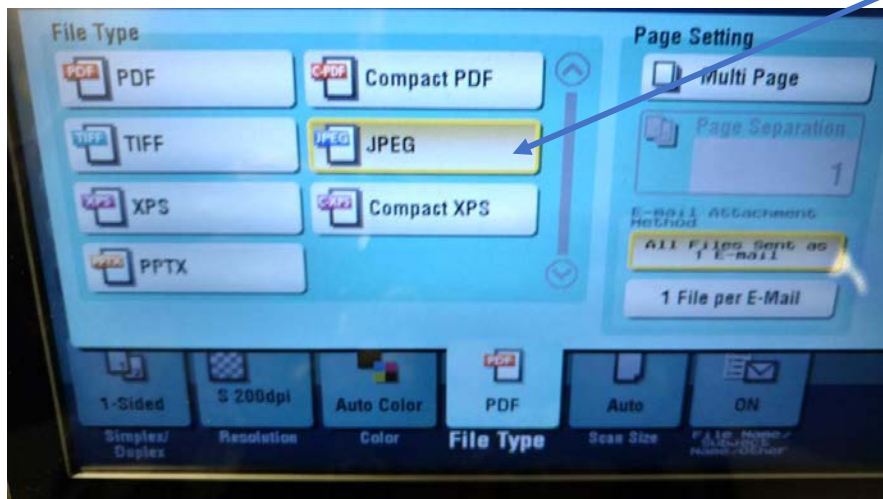
#	Activity	Type	Date	User	Stat	Size	Description
1	209630342	C	03/04/2019	jfdurham	M	16k	Minervini's Supplied Photo
2	209630342	C	03/18/2019	lnatkinson	M	20k	Glove
3	209630342	C	03/18/2019	lnatkinson	M	20k	Packaging

Row 2 of 3

Import
Export
Edit
Delete
View
☒ Preview



Photos that come in, must be placed in the Pictures section of the OE. If they do not come to you on a CD, or in an email that can be converted to a JPG, you will Scan them in at the BizHub and convert to JPG then export them in. Pictures should never be in the Documents section as they will not print out correctly since they are a small tiff item not a JPG.



This is a Referral Investigation where no inspection is to be conducted. All referrals are paperless in the OE system and this includes all UPA action dates, letters sent, response(s) received and any other actions up to requiring an inspection if it becomes necessary. At that time, the information would be transferred to the inspection by the CSHO assigned. The procedures below will outline how to process Referral Investigation paperless in the OE system.

Referral

Referral - 203459086

Referral Number: 203459086 Establishment: General Steel Drum, LLC
 Referral Date: 3/20/2019 4500 S. Blvd, Charlotte, NC 28209

Referral Details Emphasis/Initiatives OSHA File Referral Info

1. Reporting ID: 0453730

Industry & Ownership

11. Primary NAICS/SIC: 332439 3412

12. Number Employed: 45 ☒ NAICS/SIC Xref

Source

14a. Referred By: Other

14b. CSHO/FA Code:

15. Date/Time Received: 03/20/2019 08:00 AM

90. Employer Reported: Yes

91. Rapid Response (RRI): Yes

92. Event Date/Time: 03/19/2019 09:46 AM

99. Contact Name: Ricci Keller
 Title: ERS Manager
 Address: 8435 NE Killingsworth St
 Portland, OR 97220
 Phone: 503 339 6968 Email: rkeller@myerscontainer.

Intake Info: Jeffrey Mitchell 03/20/2019

17. Referral Classification

Safety: ☐ Imminent Danger ☒ Serious ☐ Other

Health: ☐ Imminent Danger ☐ Serious ☐ Other

Migrant: ☐ Migrant

93. Number Hospitalized:

94. Number Amputations: 1

95. Number Eye Injuries:

Referral Action

21a. Safety Sup Assigned:

21b. Health Sup Assigned: Peacock, Lee

22a. Inspection Planned? No b. Priority:

24. Transfer Date: 00/00/0000

25a. Transfer To:

25b. Rpt ID/FA Code:

28. Close Referral: ☒

29. Optional Information

Type	ID	Value
------	----	-------

Add Delete

The Referral Investigation initial form will require an entry in block 91. Rapid Response (RRI) will be **YES** when addressed as an investigation. Rapid Response or RRI means that no Inspection will be done but an investigation with letter notification sent to the employer will be done.

UPA Action Referral

The UPA action will be the same in the referral investigation as it is the complaint investigation.

Action Date	Action Type	Date Due	Communication
03/20/2019	Do Inspection = N	00/00/0000	
03/21/2019	Valid = Y	00/00/0000	
03/21/2019	Contact with Employer	03/29/2019	Email Letter
03/26/2019	Contact with Employer	03/26/2019	Mail Letter

Do Inspection = N – Due date not set.

Valid = N – Due dates are not set.

Valid = Y – Due dates are not set.

Initial “Contact with the Employer” – Initial contact would have a due date along with Communication as to processing.

Contact with Source – This will not have a due date

Additional “Contact with Employer” – Additional contact concerning the employer response may have a due date based on extensions for the response.



Once the initial UPA is completed you will then Queue the referral to the Administrative Specialist in your field office for processing.

Use	Activity	Type	Stat	Route Date	Establishment	Route Notes
	318158375	I	MI	06/20/2019	ANDERSON BROTHERS LUMBER CO	FILE APPROVED. SEE COMMENTS.
	318166493	I	MI	07/21/2019	Cesar Augusto	FILE APPROVED. SEE COMMENTS IN OE.
	318162955	I	MI	07/24/2019	Ideal Frame Company, Inc.	SETTLEMENT TERMS APPROVED. SEE COMMENTS
	203462650	R	MI	07/30/2019	Paladin Industries, Inc.	(Route) NOISE REFERRAL FOR PALADIN
	318166386	I	MI	08/06/2019	Elite Comfort Solutions LLC	SEE NOTES
	203463112	R	MI	08/14/2019	Southern Furniture Company of Con	(Route) NOISE REFERRAL FOR SOUTHERN FURN

Row 1 of 6 ☒ View Route Notes

Route Notes: FILE APPROVED. SEE COMMENTS.

Date	Time	Route By	Route To	Diary	Route Notes
08/02/2019	15:03:09	ybhamiltor	FI		
08/05/2019	12:15:40	ljones25	FI		
08/08/2019	17:11:13	ybhamiltor	FI		

Route Document To: ☐ Expand All

OSHA Director

Once **Queued**, you will go to the Communication Log and enter your comments for the referral and processing information.

Referral Number: 203459862 Establishment: American Converting, Co., Ltd, LLC
 Referral Date: 4/23/2019 1161 Burris Boulevard, Lincolnton, NC 28092

Referral Details Emphasis/Initiatives OSHA File Referral Info

Documents Pictures Attachments Notes Current Activity Related Activities

Notes **Communication Log** Audit Log

Contact Date: 04/24/2019 08:48 Type: Other Intake: vpcagle 04/24/2019 08:48

Contact Name: Jennie Cagle Add Delete

Phone: Email:

Subject: Received referral

Comments: Received referral from the complaint desk. Evaluated. Sending a written request for employer response to a referral letter to the employer.

#	Date/Time	Contact Name	Subject	Comments
1	04/24/19 08:48	Jennie Cagle	Received referral	Received referral from the complaint desk. Evaluated. Sending a written request for employer response to a referral letter to the employer.
2	04/24/19 08:51	Jennie Cagle	To admin for processing	Admin - send a letter to the employer.
3	04/24/19 10:44	D. Gilliam	Referral	Accident letter e-mailed to Employer.
4	05/02/19 13:46	Jennie Cagle	ER Response	Received ER response. Evaluated. Response acceptable. Okay.
5	05/02/19 13:46	Jennie Cagle	To admin for closing	Admin - send a closing letter and close the referral.
6	05/03/19 14:20	D. Gilliam	Closed	Accident referral closed letter mailed to Employer.
7	05/13/19 11:32	Jennie Cagle	Closed referral	

When the response letter is received in the field office, the Administrative Specialist will date stamp the response letter, enter the date the letter is received into the Communication Log, and Scan the response letter into the Document section. They will then send the referral to the Supervisor/POC **Queue** with a comment “response letter received, dated and scanned”.

UPA Response Referral

If the response is satisfactory the Supervisor/POC will code the information properly using the available drop-down boxes in the “ADD” function for the response. The Supervisor/POC will close the complaint and direct the Administrative Specialist, if needed, to send a response letter by routing to the Administrative **Queue** with comment “file closed send closure letter”. **Emailed responses that come in, can be printed out, date stamped and scanned or tiffed into the Documents section by the Supervisor or POC.*

UPA Action **UPA Response**

Resp Date	Response Type	Evaluation
03/26/2019	Employer - Response with Corrective Action Describ	Satisfactory

Add Delete

Retention Sections of the Complaint and Referral Files in the Osha Express

The Document section of the complaint will house all the information that the paper file previously held. This will include all letters, faxes, emails, and responses from the employer etc.

- The Document section will hold this information for 3 years.
- The Attachment section will hold information for **30 days only** after the Complaint/Referral has been satisfied and closed.
- The Pictures Section will hold photos for 5 years.
- The Notes section does not have an expiration date but is used for “in house” communication only.

Complaint - 209521053

Complaint Number: 209521053 Establishment: Keffer, Inc.
Complaint Date: 08/17/2015 8110 Independence Blvd, Charlotte, NC 28227

Complaint Details Emphasis/Initiatives OSHA File Complaint Info

Documents Pictures Attachments Notes

Current Activity Related Activities

Date Rcvd	Description	Pages	Form	Activity	Type
08/26/2015	COMP-HEAT STRESS EMPLOYER	3	OS0052	209521053	C

Row 1 of 1 Doc: <15238A000012> act: <20357>

Updating the Serious Fatal Log - When/Where/How

The Serious Fatal Log can be accessed by Date Range, CSHO, Establishment, Employee Name, First name, or Activity number, if known. The Log will include not only Accidents (Fat/Cats) but Referrals and Complaints. When an inspection is opened that was a Accident/Fatality/Referral/Complaint where injury or death occurred based on the FOM, the inspection number must be included on the form with all the correct fields completed.

Search Criteria

Activity Number CSHO Date Range 06/14/2019 to 08/14/2019 Retrieve

Establishment Address Employee Last Name First Name

Log Number	CSHO	Type	Event Date	Employee	Establishment	Address
20190640		S	08/12/2019	Pope, Gordon	Georgia-Pacific Wood Products LLC	2457-B Old Mount Olive Hwy, DUDLEY, NC 28616
20190637	N5659	F	08/11/2019	Hudson, Kendrick	Piedmont Airlines, Inc.	4700 Yorkmont Road, Suite 205, CHARLOTTE, NC 28217
20190636		S	08/10/2019	Phillips, John	Carolina West Enterprises, LLC	68 Tremont Street, ASHEVILLE, NC 28806
20190642	U6109	S	08/09/2019	Cooper, David	Fountain Electric, Inc. dba Fountain El	244 Callahan-Koon Road, SPINDALE, NC 28142
20190627	H6414	F	08/08/2019	Wilson, James	Stavely Forest Products, Inc.	6157 Old HWY 421 Rd., LIBERTY, NC 27298
20190631		S	08/08/2019	Triston, Craven	City of Charlotte	301 S. McDowell Street, Suite 1100, CHARLOTTE, NC 28202
20190634		S	08/08/2019	Norman, Nathaniel	Sir Raleigh Electric, Inc.	26 Apothecary Court, GARNER, NC 27529
20190632		S	08/08/2019	Walker, Gavin	North Carolina Department of Natural	1000 Loggerhead Rd, Kure Beach, NC 28549

Log Number: 20190621 Accident Address: 2501 Front Street, Beaufort, NC 28516

Accident Date: 08/02/2019 Accident Type: Serious FAT/CAT

Accident Employee(s) Inspection Info OSHA File Accident Info

Report Date: 08/02/2019 Report Time: 07:41 PM Log Number: 20190621 Accident Type: Serious

Caller Name, Title: Officer Raulo Ferreira, Beaufort Police Department Caller Phone: 252 342 2017

OSHA Covered: Yes Employer Reported: No Industry: Construction Number Hospitalized: 2

Accident Date: 08/02/2019 Accident Time: 07:00 PM Death Date: 00/00/0000

Accident Address: 2501 Front Street

City: Beaufort State: NC

ZIP: 28516 County: CARTERET

Report Taken By: Ric Schumann Inspection Planned: Yes Assigned CSHO: Griffith, Ira

Supervisor: Atkinson, Lafayette Date Assigned: 08/05/2019

Accident Description

Three employees were installing a metal roof on a residential house. One of the workers slipped and fell and when his brother attempted to catch him, they both fell to the ground.

Establishment Info

Establishment	Address/City
Francisco Luviano dba Luviano Roofing	612 N Steele Street, SANFORD, NC 27330

Add Delete

The Serious Fatal Log entries are filled in by the Complaint desk, Supervisor and CSHO.

If no inspection is to be performed, or the inspection assigned becomes a No Inspection, you will change to the following:

No Inspections are to be corrected on the Serious Fatal Log when a CSHO is assigned by doing the following:

“Inspection Planned” NO

Right click out the “Assigned CSHO”

Right click out “Date Assigned”

Save your modifications