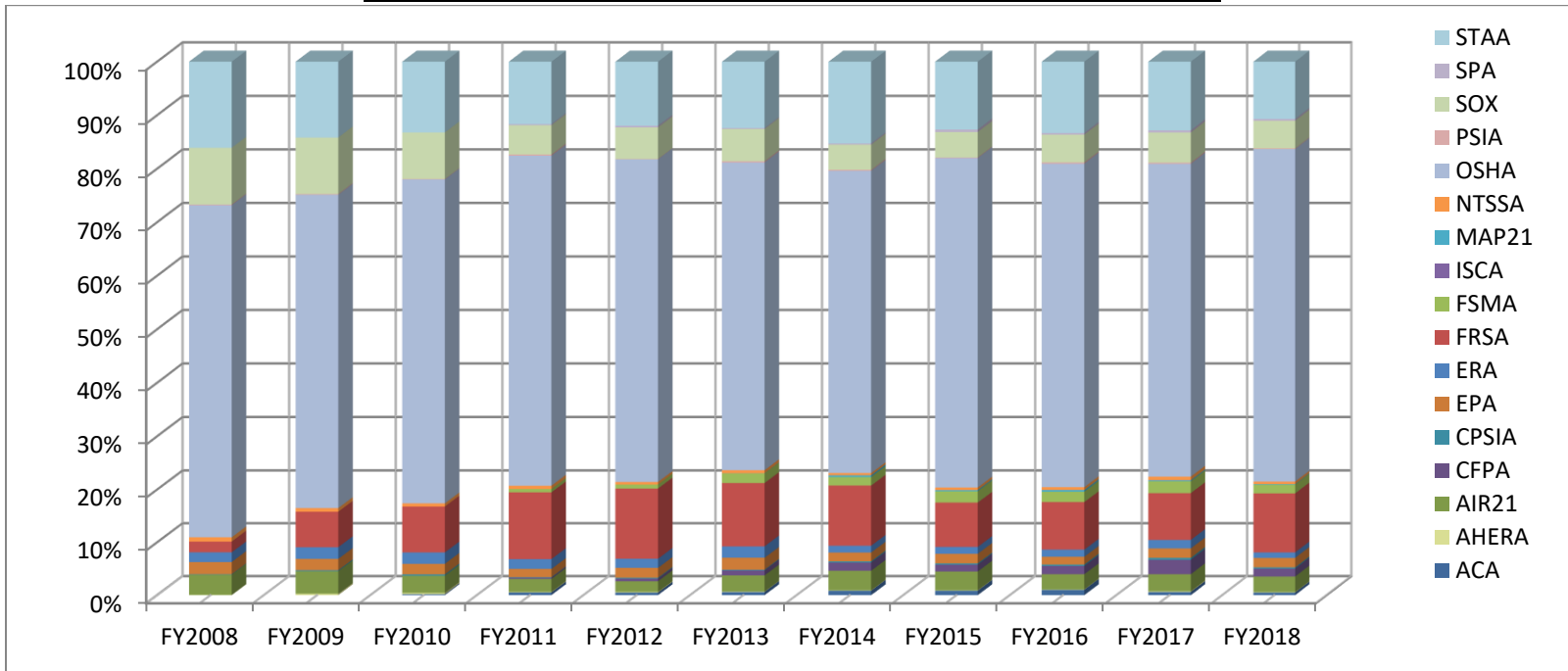
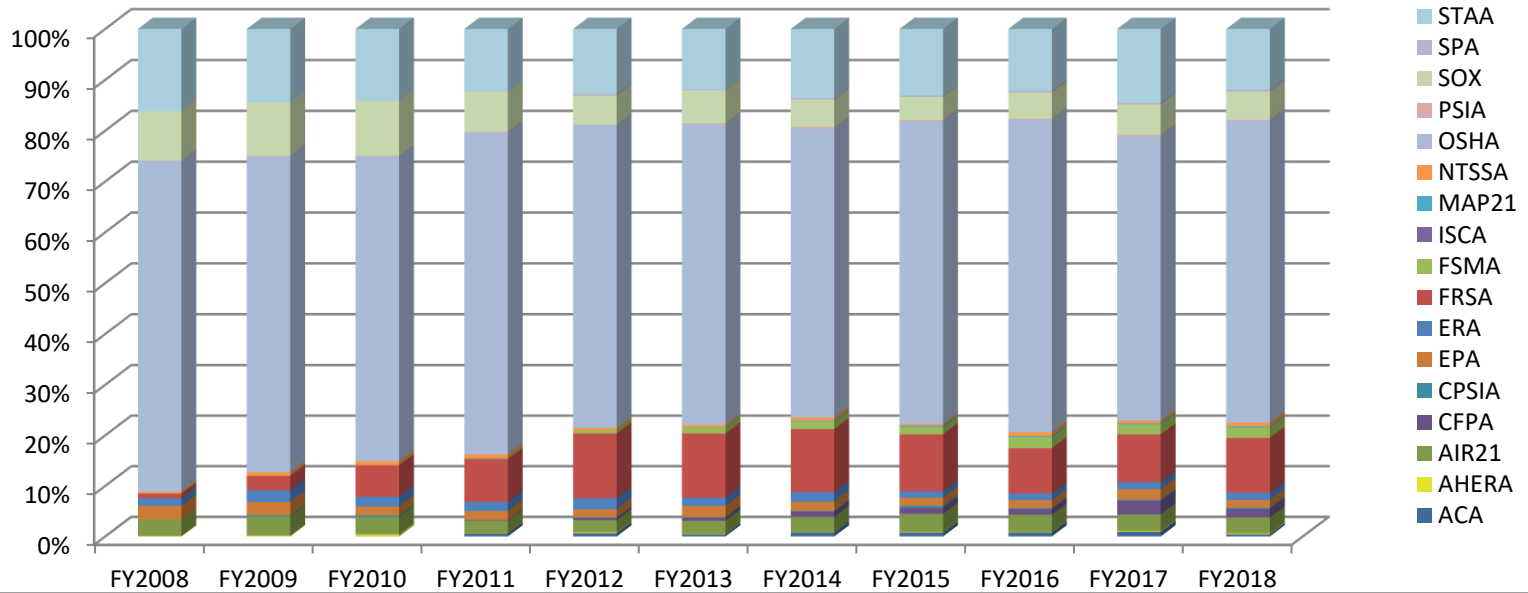


**Whistleblower Docketed Cases Received: FY2008 – FY2018**



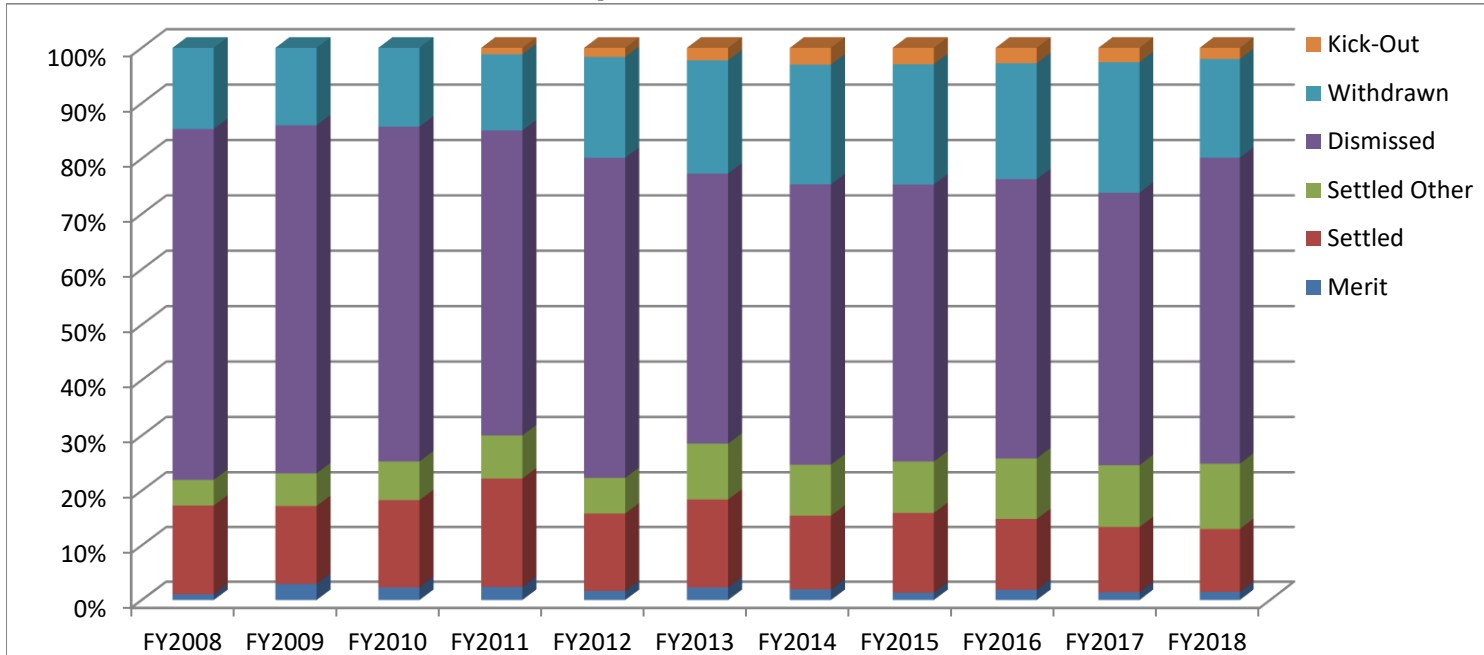
Statute	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY2015	FY2016	FY2017	FY2018
ACA	0	0	4	14	14	18	26	28	34	20	15
AHERA	1	6	6	3	4	3	3	3	3	5	3
AIR21	85	92	75	66	58	90	114	116	96	106	88
CFPA	0	0	0	6	14	28	48	43	52	90	45
CPSIA	2	4	6	3	5	4	7	8	9	12	7
EPA	51	46	46	42	54	67	52	59	50	59	54
ERA	41	48	50	50	50	64	40	43	45	53	31
FRSA	45	145	201	341	384	356	353	276	302	293	336
FSMA	0	0	0	17	22	54	50	71	66	74	50
ISCA	0	0	1	0	0	0	0	0	0	0	0
MAP21	0	0	0	0	0	1	10	7	11	7	3
NTSSA	18	15	14	17	14	17	13	16	18	22	14
OSHA	1381	1267	1402	1665	1743	1707	1750	2026	2030	1932	1870
PSIA	3	3	2	6	2	7	6	4	8	7	4
SOX	235	228	201	148	170	179	146	156	174	186	155
SPA	0	0	0	5	9	5	7	15	10	13	10
STAA	357	306	306	315	346	368	473	417	447	424	322
<b>Total</b>	<b>2219</b>	<b>2160</b>	<b>2314</b>	<b>2698</b>	<b>2889</b>	<b>2968</b>	<b>3098</b>	<b>3288</b>	<b>3355</b>	<b>3303</b>	<b>3007</b>

### Whistleblower Docketed Cases Completed: FY2008 – FY2018



Statute	FY 2008	FY 2009	FY 2010	FY 2011	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY2017	FY2018
ACA	0	0	1	11	18	11	25	24	26	31	13
AHERA	1	3	7	1	5	1	2	3	3	6	5
AIR21	65	71	65	49	66	83	95	119	114	109	92
CFPA	0	0	0	2	12	19	34	40	37	89	49
CPSIA	0	5	6	1	4	4	4	13	6	8	8
EPA	51	49	34	34	44	68	56	52	51	70	44
ERA	31	44	36	35	61	50	61	41	44	47	43
FRSA	18	53	119	165	354	392	392	369	296	315	316
FSMA	0	0	0	4	18	41	47	47	73	66	60
ISCA	0	0	0	1	0	0	0	0	0	0	0
MAP21	0	0	0	0	0	0	5	9	8	7	6
NTSSA	6	13	15	13	12	11	20	11	25	19	21
OSHA	1255	1168	1144	1235	1653	1825	1794	1951	2035	1876	1740
PSIA	1	2	2	3	2	6	7	8	5	8	4
SOX	191	197	206	153	157	200	171	149	170	200	163
SPA	0	0	0	0	10	4	9	9	13	10	12
STAA	320	271	269	241	354	368	428	428	401	487	348
<b>TOTAL</b>	<b>1939</b>	<b>1876</b>	<b>1904</b>	<b>1948</b>	<b>2770</b>	<b>3083</b>	<b>3150</b>	<b>3273</b>	<b>3307</b>	<b>3348</b>	<b>2924</b>

**Whistleblower Complaint Determinations<sup>1</sup>: FY2008 – FY2018**



Fiscal Year	Positive Outcome for Complainant			Dismissed	Kick-Out <sup>2</sup>	Withdrawn	Total Determinations
	Merit	Settled	Settled Other				
2008	21	328	95	1280	N/A	296	2020
2009	57	277	116	1221	N/A	272	1943
2010	45	312	138	1182	N/A	278	1955
2011	48	400	157	1110	23	278	2016
2012	48	406	187	1659	47	523	2870
2013	75	526	333	1595	74	669	3272
2014	64	441	305	1657	99	708	3274
2015	45	485	313	1665	106	723	3337
2016	63	441	376	1715	95	712	3402
2017	49	409	388	1688	89	809	3432
2018	44	341	354	1637	60	528	2964
<b>Total</b>	<b>559</b>	<b>4366</b>	<b>2762</b>	<b>16409</b>	<b>593</b>	<b>5796</b>	<b>30485</b>

<sup>1</sup> Complaint Determinations gives the total of complainant determinations made in each year. Because determinations are specific to each complainant (i.e. 3 complainants under one docket get 3 different determinations), there are more “determinations” than there are “case closures”.

<sup>2</sup> A “kick-out” occurs when the complainant brings an action for *de novo* review of the complaint in a United States district court under the circumstances outlined in the statute.

**Whistleblower Complaint Determinations – FY2008**

Statute	Positive Outcome for Complainant			Dismissed	Withdrawn	Total Determinations
	Merit	Settled	Settled Other			
ACA	0	0	0	0	0	0
AHERA	0	0	0	1	0	1
AIR21	2	8	2	50	5	67
CFPA	0	0	0	0	0	0
CPSIA	0	0	0	0	0	0
EPA	1	6	3	38	6	54
ERA	0	1	4	24	2	31
FRSA	1	2	0	13	2	18
FSMA	0	0	0	0	0	0
ISCA	0	0	0	0	0	0
NTSSA	0	0	0	7	0	7
OSHA	14	202	45	830	227	1318
PSIA	0	0	0	1	0	1
SOX	0	15	27	130	24	196
SPA	0	0	0	0	0	0
STAA	3	94	14	186	30	327
Total	21	328	95	1280	296	2020

**Whistleblower Complaint Determinations – FY2009**

Statute	Positive Outcome for Complainant			Dismissed	Withdrawn	Total Determinations
	Merit	Settled	Settled Other			
ACA	0	0	0	0	0	0
AHERA	0	0	0	2	1	3
AIR21	15	6	4	48	6	79
CFPA	0	0	0	0	0	0
CPSIA	0	1	0	4	0	5
EPA	0	3	4	42	1	50
ERA	1	0	10	34	3	48
FRSA	9	2	2	31	11	55
FSMA	0	0	0	0	0	0
ISCA	0	0	0	0	0	0
NTSSA	0	1	2	8	3	14
OSHA	22	210	55	726	187	1200
PSIA	0	0	1	0	1	2
SOX	3	12	29	127	35	206
SPA	0	0	0	0	0	0
STAA	7	42	9	199	24	281
Total	57	277	116	1221	272	1943

**Whistleblower Complaint Determinations – FY2010**

Statute	Positive Outcome for Complainant			Dismissed	Withdrawn	Total Determinations
	Merit	Settled	Settled Other			
ACA	0	0	0	1	0	1
AHERA	0	1	1	5	0	7
AIR21	1	5	8	49	3	66
CFPA	0	0	0	0	0	0
CPSIA	0	1	0	5	0	6
EPA	0	5	4	24	2	35
ERA	0	1	6	21	9	37
FRSA	8	12	14	69	16	119
FSMA	0	0	0	0	0	0
ISCA	0	0	0	0	0	0
NTSSA	1	1	1	10	2	15
OSHA	24	244	66	672	177	1183
PSIA	0	0	0	2	0	2
SOX	3	17	21	141	27	209
SPA	0	0	0	0	0	0
STAA	8	25	17	183	42	275
Total	45	312	138	1182	278	1955

**Whistleblower Complaint Determinations – FY2011**

Statute	Positive Outcome for Complainant			Dismissed	Kick-Out	Withdrawn	Total Determinations
	Merit	Settled	Settled Other				
ACA	0	0	0	6	0	5	11
AHERA	0	0	0	2	N/A	0	2
AIR21	0	3	8	33	N/A	8	52
CFPA	0	0	0	1	0	1	2
CPSIA	0	0	0	0	0	1	1
EPA	1	5	3	22	N/A	3	34
ERA	0	4	6	24	0	6	40
FRSA	16	13	23	77	9	30	168
FSMA	0	1	2	1	0	0	4
ISCA	0	0	0	1	N/A	0	1
NTSSA	0	2	2	8	1	0	13
OSHA	23	314	74	696	N/A	178	1285
PSIA	0	0	0	2	N/A	1	3
SOX	2	7	30	93	9	15	156
SPA	0	0	0	0	0	0	0
STAA	6	51	9	144	4	30	244
Total	48	400	157	1110	23	278	2016

<b>Whistleblower Complaint Determinations – FY2012</b>							
Statute	Positive Outcome for Complainant			Dismissed	Kick-Out	Withdrawn	Total Determinations
	Merit	Settled	Settled Other				
ACA	0	0	0	12	0	6	18
AHERA	0	0	1	4	N/A	0	5
AIR21	2	4	3	54	N/A	4	67
CFPA	0	1	0	4	1	6	12
CPSIA	0	0	0	4	0	0	4
EPA	2	8	3	26	N/A	5	44
ERA	0	4	11	39	3	5	62
FRSA	14	18	37	219	30	53	371
FSMA	0	3	1	7	0	7	18
ISCA	0	0	0	0	N/A	0	0
MAP21	0	0	0	0	0	0	0
NTSSA	0	0	3	8	0	1	12
OSHA	20	294	88	975	N/A	341	1719
PSIA	0	0	0	2	N/A	0	2
SOX	2	11	29	90	10	18	160
SPA	0	4	0	11	0	2	17
STAA	8	59	11	204	3	75	359
Total	48	406	187	1659	47	523	2870

<b>Whistleblower Complaint Determinations – FY2013</b>							
Statute	Positive Outcome for Complainant			Dismissed	Kick-Out	Withdrawn	Total Determinations
	Merit	Settled	Settled Other				
ACA	0	0	0	7	0	4	11
AHERA	0	0	0	1	N/A	0	1
AIR21	2	10	8	53	N/A	15	88
CFPA	0	4	1	8	2	5	20
CPSIA	0	0	0	0	3	1	4
EPA	3	6	8	40	N/A	12	69
ERA	2	0	11	28	2	7	50
FRSA	16	67	43	175	34	65	400
FSMA	0	4	5	21	2	9	41
ISCA	0	0	0	0	N/A	0	0
MAP21	0	0	0	0	0	0	0
NTSSA	0	1	0	5	0	5	11
OSHA	40	368	201	919	N/A	416	1944
PSIA	0	0	0	5	N/A	1	6
SOX	2	9	29	141	25	44	250
SPA	0	1	1	1	1	0	4
STAA	10	56	26	191	5	85	373
Total	75	526	333	1595	74	669	3272

**Whistleblower Complaint Determinations – FY2014**

Statute	Positive Outcome for Complainant			Dismissed	Kick-Out	Withdrawn	Total Determinations
	Merit	Settled	Settled Other				
ACA	0	0	0	13	0	13	26
AHERA	0	0	1	2	N/A	0	3
AIR21	0	10	11	49	N/A	28	98
CFPA	1	3	4	15	1	10	34
CPSIA	0	3	0	1	1	0	5
EPA	2	3	7	39	N/A	7	58
ERA	1	3	12	34	3	11	64
FRSA	28	27	31	213	47	55	401
FSMA	0	6	6	26	0	11	49
ISCA	0	0	0	0	N/A	0	0
MAP21	0	0	2	1	1	1	5
NTSSA	1	1	2	12	2	6	24
OSHA	13	309	161	957	N/A	426	1866
PSIA	0	0	5	1	N/A	1	7
SOX	2	3	29	77	30	33	174
SPA	0	3	0	5	1	0	9
STAA	16	70	34	212	13	106	451
Total	64	441	305	1657	99	708	3274

**Whistleblower Complaint Determinations – FY2015**

Statute	Positive Outcome for Complainant			Dismissed	Kick-Out	Withdrawn	Total Determinations
	Merit	Settled	Settled Other				
ACA	0	1	1	13	0	9	24
AHERA	1	0	1	1	N/A	0	3
AIR21	5	12	8	71	N/A	28	124
CFPA	0	3	8	18	4	7	40
CPSIA	0	1	0	11	1	0	13
EPA	0	11	7	28	N/A	9	55
ERA	4	2	6	18	5	8	43
FRSA	12	25	40	192	56	58	383
FSMA	0	5	3	23	1	15	47
ISCA	0	0	0	0	N/A	0	0
MAP21	0	0	2	4	0	3	9
NTSSA	1	0	0	8	1	1	11
OSHA	17	361	179	963	N/A	461	1981
PSIA	0	2	0	6	N/A	0	8
SOX	1	2	20	82	20	30	155
SPA	0	1	0	5	0	3	9
STAA	4	59	38	222	18	91	432
Total	45	485	313	1665	106	723	3337

**Whistleblower Complaint Determinations - FY2016**

Statute	Positive Outcome for Complainant			Dismissed	Kick-Out	Withdrawn	Total Determinations
	Merit	Settled	Settled Other				
ACA	0	2	5	12	1	6	26
AHERA	0	0	0	3	0	0	3
AIR21	8	6	22	63	0	19	118
CFPA	1	2	7	14	4	9	37
CPSIA	0	0	0	5	0	1	6
EPA	1	4	11	22	0	15	53
ERA	2	1	10	23	0	10	46
FRSA	10	12	28	160	50	44	304
FSMA	0	13	13	30	1	17	74
ISCA	0	0	0	0	0	0	0
MAP21	0	0	2	3	1	2	8
NTSSA	2	0	3	17	0	3	25
OSHA	29	342	210	1043	0	472	2096
PSIA	0	0	0	6	0	2	8
SOX	1	7	27	77	31	30	173
SPA	0	0	1	12	0	1	14
STAA	9	52	37	225	7	81	411
Total	63	441	376	1715	95	712	3402

**Whistleblower Complaint Determinations - FY2017**

Statute	Positive Outcome for Complainant			Dismissed	Kick-Out	Withdrawn	Total Determinations
	Merit	Settled	Settled Other				
ACA	0	1	6	15	2	7	31
AHERA	0	0	1	5	0	0	6
AIR21	2	7	12	77	0	16	114
CFPA	1	6	4	32	9	38	90
CPSIA	1	0	0	6	0	1	8
EPA	1	1	7	44	0	17	70
ERA	1	3	7	30	4	5	50
FRSA	8	13	48	194	34	46	343
FSMA	1	7	9	36	3	11	67
ISCA	0	0	0	0	0	0	0
MAP21	0	0	1	3	2	1	7
NTSSA	1	1	0	12	1	4	19
OSHA	15	303	220	877	0	502	1917
PSIA	0	3	1	4	0	1	9
SOX	7	5	35	102	16	37	202
SPA	0	1	0	4	1	4	10
STAA	11	58	37	247	17	119	489
Total	49	409	388	1688	89	809	3432



**Whistleblower Complaint Determinations – FY2018**

Statute	Positive Outcome for Complainant			Dismissed	Kick-Out	Withdrawn	Total Determinations
	Merit	Settled	Settled Other				
ACA	0	0	2	7	0	4	13
AHERA	0	0	0	3	0	2	5
AIR21	4	2	14	73	0	8	101
CFPA	0	3	10	23	5	8	49
CPSIA	0	0	0	7	1	0	8
EPA	2	4	4	29	0	5	44
ERA	1	1	13	26	0	3	44
FRSA	7	6	20	222	26	39	320
FSMA	1	8	6	36	0	10	61
ISCA	0	0	0	0	0	0	0
MAP21	0	0	2	4	1	0	7
NTSSA	0	0	2	16	0	3	21
OSHA	20	269	221	870	0	377	1757
PSIA	3	0	0	1	0	2	6
SOX	3	5	27	92	16	20	163
SPA	0	0	0	6	3	3	12
STAA	3	43	33	222	8	44	353
Total	44	341	354	1637	60	528	2964