I. Introduction – The draft recommendation below is a work product of a committee of the National Organic Standards Board, which is an advisory board to the USDA’s National Organic Program. The language does not represent new regulation or guidance from the USDA.

The NOP Rule allows accredited certifying agents (ACAs) to issue certification with “minor noncompliances”. The terms “minor noncompliance”, “noncompliance”, and “organic integrity” are used in the regulation, but are not defined in the Rule or in OFPA. There is a need to provide guidance to ACAs to ensure that minor noncompliances are established in a consistent manner.

By way of introduction, all readers are reminded that any deviation from the regulation is a violation. The severity of the violation determines the consequences. This guidance document is offered to help ACAs establish appropriate and consistent sanctions for all instances where evidence confirms that noncompliances have occurred.

II. Background – The NOP Rule mentions “minor noncompliances” related to certification in §205.404(a), §205.406(a)(3) and §205.501(a)(18). The term “minor noncompliances” is also used in reference to conditions for accreditation in §205.506(b)(3).

A. Rule Citations:

§ 205.404 Granting certification.
(a) Within a reasonable time after completion of the initial on-site inspection, a certifying agent must review the on-site inspection report, the results of any analyses for substances conducted, and any additional information requested from or supplied by the applicant. If the certifying agent determines that the organic system plan and all procedures and activities of the applicant’s operation are in compliance with the requirements of this part and that the applicant is able to conduct operations in accordance with the plan, the agent shall grant certification. (Underline added.)

§ 205.406 Continuation of certification.
(a) To continue certification, a certified operation must annually pay the certification fees and submit the following information, as applicable, to the certifying agent:
(3) An update on the correction of minor noncompliances previously identified by the certifying agent as requiring correction for continued certification;

§ 205.501 General requirements for accreditation.
(a) A private or governmental entity accredited as a certifying agent under this subpart must:
(18) Provide the inspector, prior to each on-site inspection, with previous on-site inspection reports and notify the inspector of its decision regarding certification of the production or handling operation site inspected by the inspector and of any requirements for the correction of minor noncompliances;

§ 205.506 Granting accreditation.
(b) On making a determination to approve an application for accreditation, the Administrator will notify the applicant of the granting of accreditation in writing, stating:
(3) Any terms and conditions for the correction of minor noncompliances;

B. Preamble Citations:

While the Rule does not define “minor noncompliances”, the Preamble offers some guidance.
On page 80592, the Preamble states, "The certifying agent will make the determination of whether a violation of the Act and regulations is minor. Minor noncompliances are those infractions that, by themselves, do not preclude the certification or continued certification of an otherwise qualified organic producer or handler. The certifying agent would be free to modify the time period for correction should it believe it to be appropriate."

Page 80593 goes on to state, "(13) Correction of Minor Noncompliances. We have amended section 205.406(a) by adding a new paragraph (3) which requires the certified operation to include with its annual reporting an update on the correction of minor noncompliances previously identified by the certifying agent as requiring correction for continued certification. A commenter recommended adding at 205.406(a) a requirement that the certified operation address any restrictions that have been applied to its certification under 205.404(a). We agree with the commenter that the annual reporting by the certified operation should include an update addressing the certified operation's compliance with the certifying agent's requirements for the correction of minor noncompliances. Accordingly, we amended section 205.406(a) as noted above and re-designated paragraph (3) as paragraph (4). The certifying agent will make the determination of whether a violation of the Act and regulations is minor. Minor noncompliances are those infractions that, by themselves, do not preclude the certification or continued certification of an otherwise qualified organic producer or handler."

As shown above, the Preamble provides some discussion of "minor noncompliances", but it does not define the term or establish criteria for the determination of a minor noncompliance.

C. Discussion:

Accredited certifying agents are clearly empowered by the Rule to make determinations whether violations of the Act and regulations are minor. There is a need to define "minor noncompliance" and "noncompliance" to assure that the Rule is consistently administered by all domestic and foreign, new and experienced ACAs. (Note: A previous draft from the Accreditation Committee referred to "major noncompliances". Since the term "major" is not used in the Rule, the phrase "major noncompliance" has been replaced by "noncompliance" in this guidance document.)

There is also a need to provide clarification of the notification of noncompliance procedures. Such guidance is contained in the Certification, Accreditation, and Compliance Committee's recommendation, which is based on the noncompliance procedures contained in the Rule.

There is a further need to provide examples of minor noncompliances and noncompliances. Such examples are contained in the Addendum to this recommendation. The examples are presented for guidance and discussion purposes, and are not meant as an all-inclusive list. Additional noncompliances can and do occur. The examples address crop production only. No examples are given for livestock production, handling, or labeling violations.

Historically, certifying agents have granted "conditional certification" to operations which are not in full compliance. Synonymous terms include "continuous improvement points" or "certification with minor improvements required". During the inspection and certification process, minor issues are identified which must be addressed in order for the applicant to be certified, or for the certified operator to continue to be granted certification. The concept of conditional certification is embodied in the allowance for "minor noncompliances" contained in the NOP regulation.

When considering the initial certification to a new applicant, an ACA must assess all identified noncompliances to determine which noncompliances are minor, meaning that "conditional" certification can be granted, and which noncompliances affect the operation's organic integrity, therefore precluding certification. All noncompliances which have the potential to negatively affect an operation's ability to maintain organic integrity should be regarded as pre-certification conditions, meaning that the noncompliances must be resolved prior to granting certification. If the noncompliances are not resolved to the satisfaction of the ACA, certification must be denied.

When an operation is granted certification with minor noncompliances, the findings of non-compliance are communicated to the operator, and the operator must respond to the notice of minor noncompliances in a time period specified by the ACA. In essence, the operator's Organic System Plan is amended to include all minor noncompliances, the resolution of which function as conditions for certification of the operation.
If a certified operator does not correct or rebut a minor noncompliance in the time period specified by the certifying agent, the minor noncompliance can become a full noncompliance, which can set in motion notification of proposed suspension or revocation proceedings. Likewise, an operation can have so many minor noncompliances that certification of the operation is precluded. ACAs must examine all evidence presented to determine which noncompliances are minor, and which preclude certification of an operation or portion of an operation. Operations can be certified with minor noncompliances. Operations cannot be certified or remain certified with noncompliances.

As stated in the introduction, all deviations from the regulation are violations. All deviations must be corrected in order for initial certification to be granted or for certification to remain in effect. All findings of noncompliance, including minor noncompliances, must be based on solid evidence. The ACA must provide burden of proof when any finding of minor noncompliance or noncompliance is issued.

ACAs, like certified operators, must maintain auditable records of all noncompliances and sanctions issued. Just as operator records are essential to demonstrate compliance with the regulation, certifier records demonstrate compliance with accreditation requirements. ACA records should demonstrate that sufficient evidence was gathered, proper notification procedures were followed, and all operations with similar violations were treated equitably.

The guidance presented below is offered to help bring consistency and clarity to the establishment of minor noncompliances and noncompliances. While the recommendation has no legal authority, it represents the NOSB’s “best thinking” on the subject.

III. Recommendation – The National Organic Standards Board recommends that the NOP consider the following when constructing a guidance document on noncompliances:

A. General

All Notices of Noncompliance and Notices of Proposed Suspension or Revocation of Certification will follow the Certification, Compliance, and Appeals procedures specified in §205.400-205.406 and §205.660-205.681.

B. Definition of terms

- (major) Noncompliance - a finding that affects the integrity of the organic system or the organic product and precludes the certification or continued certification of a producer or handler.
- Minor Noncompliance - a finding of noncompliance that is correctable, does not affect the integrity of the organic system or the organic product, and does not preclude the certification or continued certification of an otherwise qualified organic producer or handler.
- Organic integrity - the qualities of an organic product or production or handling system which are obtained through compliance with National Organic Program requirements and which must be maintained from production through handling to the point of final sale in order for the final product to be labeled and/or marketed as organic.

C. Minor Noncompliances

Situations that Require Issuance of a Minor Noncompliance:

1. The producer or handler’s Organic System Plan is incomplete or inaccurate, but the integrity of the organic system is not compromised.
2. The operator’s Organic System Plan does not demonstrate full compliance with all applicable provisions of the National Organic Program, 7 CFR Part 205, but the integrity of the organic system is not compromised.

Required Components of a Notice of Minor Noncompliance:

1. A description of each of minor noncompliance.
2. The facts upon which the notification of minor noncompliance is based and the relevant sections of the National Organic Program Rule that are in violation.

3. The date by which the applicant or operator must respond to the Notice of Minor Non-Compliance by either rebutting the notice or instigating corrective actions for each minor noncompliance and submitting supporting documentation for each such corrective action. (It is recommended that ACAs establish standard time frames for applicants and operators to respond to notices of minor noncompliances to ensure equitable treatment of all operators - e.g. 30 days from Notice of Minor Noncompliance.)

4. Notification that if the response is not received within the specified time and corrective actions are not completed, or if there is no rebuttal of the Notice of Minor Noncompliance within the required time period, that further action, including denial, suspension, or revocation of certification, may occur.

Distribution guidelines

All Notices of Minor Noncompliance will be distributed as follows:

- ACA will provide the applicant or certified operator written notification.
- Copy for ACA office file.
- Copy for inspector’s file (as required by §205.501(a)(18)).

Resolution process:

The Accredited Certifying Agent will verify by inspection or written documentation that the corrective actions, described in the applicant’s or certified operator’s response to the Notice of Minor Non-compliance, have been completed. When an applicant or certified operator completes the required corrective action(s), the operation’s certification will be granted, or will remain in effect, as applicable. In some instances, ACAs may grant certification or issue notices of continued certification at the same time that a Notice of Minor Noncompliance is issued.

<table>
<thead>
<tr>
<th>Examples of Minor Noncompliance</th>
<th>Corrective Action</th>
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<tbody>
<tr>
<td>Inadequate buffer zone between organic and nonorganic production. (§205.202(c))</td>
<td>Letter that states that an adequate buffer zone has been established, amending the operation’s Organic System Plan.</td>
</tr>
<tr>
<td>Inadequate recordkeeping – Producer does not record all materials applied or fails to record date that material was applied. (§205.103(b)(2))</td>
<td>Letter stating that complete records will be maintained in the future, accompanied by examples of compliant records, amending the operation’s Organic System Plan.</td>
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</tbody>
</table>

D. Notice of (major) Noncompliance

Situations that Require Issuance of a Notice of Noncompliance:

1. All findings of noncompliance, except for findings of minor noncompliance.
2. Applicants or certified operators who are in violation of the National Organic Program, 7 CFR Part 205.
3. Certified operators who violate or fail to implement their Organic System Plans.

Required Components of a Notice of Noncompliance:

1. A description of each of noncompliance.
2. The facts upon which the notification of noncompliance is based and the relevant sections of the National Organic Program Rule that are in violation.
3. The date by which the applicant or operator must respond to the Notice of Noncompliance by rebutting the notice or by instigating corrective actions for each noncompliance and submitting supporting documentation for each such correction when correction is possible. (It is recommended that ACAs establish standard time frames for applicants and operators to respond to notices of minor
noncompliances to ensure equitable treatment of all operators - e.g. 30 days from Notice of Noncompliance.)
4. Notification that if the response is not received within the specified time and corrective actions are not completed, or if there is no rebuttal of the Notice of Noncompliance within the required time period, that further action, including civil penalties and/or denial, suspension or revocation of certification, may occur.

Resolution process:
The Accredited Certifying Agent will verify by inspection or written documentation that that the corrective actions, as described in the response to the Notice of Non-compliance have been completed. When an applicant or certified operation completes the corrective action, the ACA will send the operation a written notification with dated return receipt stating that the noncompliance issue has been resolved. The operation’s organic certification may then be issued or will remain in effect, as applicable.

E. Notice of Denial of Certification (NDC)

Situations that require issuance of a Notice of Denial of Certification:

1. Findings demonstrate that an applicant for certification is not in compliance.
2. Applicant has failed to address noncompliances, including minor noncompliances, thereby violating the applicant’s Organic System Plan.
3. Applicant has not taken corrective action to correct a noncompliance specified in a a Notice of Noncompliance or has not responded to a Notice of Noncompliance by the date specified in the Notice of Noncompliance.
4. The corrective actions undertaken by the applicant are not sufficient for the applicant to qualify for certification.

Examples:

- Findings demonstrate that an applicant is representing nonorganic products as organic, in violation of §205.100(c)(1).
- Findings demonstrate that an applicant has applied a prohibited pesticide, in violation of §205.202(b).
- Findings demonstrate that an applicant has failed to implement a soil management system compliant with §205.203 and §205.205.
- Findings demonstrate that an applicant has failed to establish effective barriers to prevent the commingling of organic and nonorganic items, in violation of §205.272(a).

Components of the Notice of Denial of Certification:

1. Cover letter (optional).
2. Notice of Denial of Certification.
3. The reasons for denial, with appropriate National Organic Program citations.
4. The right to reapply for certification, pursuant to §205.401 and §205.405(e).
5. The right to request mediation pursuant to §205.663 or to file an appeal pursuant to §205.681.

F. Notice of Proposed Suspension of Certification (NPSC) or Notice of Proposed Revocation of Certification (NPRC)

Situations that require issuance of a Notice of Proposed Suspension of Certification or Notice of Proposed Revocation of Certification:

1. Findings demonstrate that the certified operation has committed a noncompliance.
2. Certified operator has failed to address noncompliances, including minor noncompliances, thereby violating the Organic System Plan agreed to by the operator and the ACA.
3. Certified operator has not taken corrective action specified in a response to notice of noncompliance or has not responded by the date specified in the notice of noncompliance.
4. The corrective actions undertaken by the certified operator are not sufficient for the operation to remain certified.

Examples:
- Findings demonstrate that a certified producer or handler is representing nonorganic products as organic, in violation of §205.100(c (1).
- Findings demonstrate that a certified producer has applied a prohibited pesticide, in violation of §205.202(b).
- Findings demonstrate that a certified operator has failed to establish effective barriers to prevent the commingling of organic and nonorganic items, in violation of §205.272(a).

Components of the Notice:
1. Cover letter (optional).
2. Notice of Proposed Suspension of Certification, or Notice of Proposed Revocation of Certification.
3. The reasons for the proposed suspension or proposed revocation with appropriate National Organic Program citations.
4. Proposed effective date of suspension or revocation.
5. Impact of a suspension or revocation on future eligibility for certification, pursuant to §205.662(f).
6. The right to request mediation pursuant to §205.663 or to file an appeal pursuant to §205.681.

Failure to respond
If the operation fails to respond to the Notice of Proposed Suspension of Certification or Notice of Proposed Revocation of Certification by rebutting or appealing the Notice or by requesting mediation, the Accredited Certifying Agent will provide the certified operator written notification with dated return receipt that the operation’s certification has been suspended or revoked, as applicable.

G. Distribution guidelines
All Notices of Denial of Certification, Notices of Noncompliance, (except for Notices of Minor Noncompliance), Notices of Proposed Suspension of Certification, and Notices of Proposed Revocation of Certification will be distributed as follows:
- ACA will provide the applicant or certified operator written notification using a delivery service which provides dated return receipts.
- Copy for ACA office file.
- Copy for inspector’s file (as required by §205.501(a)(18)).
- Copy sent via fax, email, express service, or regular mail to the National Organic Program Administrator.

IV. Certification, Accreditation, and Compliance Committee vote – 3 yes, 0 no, 2 absent

V. Minority opinion – None.

VI. Conclusion – The National Organic Standards Board recommends that the NOP post the definitions of “minor noncompliance”, “noncompliance”, and “organic integrity” along with noncompliance notification procedures and examples of noncompliances contained in this recommendation to the NOP website as guidance to Accredited Certifying Agents.
Addendum Draft 8 – NOSB Certification, Accreditation, and Compliance Committee
Examples of Noncompliances

Introduction: The matrix below provides examples of minor noncompliances and noncompliances related to crop production. The examples are presented for guidance and discussion purposes, and are not meant as an all-inclusive list. Additional noncompliances can and do occur. No examples are given for livestock production, handling, or labeling violations. Please note that a noncompliance may progress from a minor noncompliance to become a noncompliance, or findings may demonstrate that a violation is a noncompliance involving fraud which warrants investigation and criminal prosecution, without having first been detected as a minor noncompliance. Please also note that willful violations, falsifications of evidence, refusals to comply, and other intentional noncompliances are grounds for denial, suspension, or revocation of certification and possible legal action in all instances.

Conditions - Requirements that an operation must comply with in order to obtain or maintain organic certification. Conditions can include the requirement to maintain certain records, to monitor soil quality, to pay required fees or other items that justify certification.

Minor Noncompliance - Violations of the standards that are correctable and do not affect the integrity of the organic system or product. A Notice of Minor Noncompliance must be issued for all minor non-compliance in accordance with 205.662.

(Major) Noncompliance - Violations that are not correctable and that affect the integrity of the organic system or product.

Criminal Violations - Fraud or violations of state or federal law. These types of violation should be referred to county prosecutors or state attorney general's offices as appropriate.

<table>
<thead>
<tr>
<th>MINOR NONCOMPLIANCES</th>
<th>(MAJOR) NONCOMPLIANCES</th>
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<tr>
<td>Conditions</td>
<td>Minor Noncompliance</td>
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<td>→ Notice of Minor</td>
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<td>Submitting incomplete or unclear paperwork. §205.201(a)</td>
<td>Failure to submit required paperwork on time.</td>
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<tr>
<td>Submitting an unclear Organic System Plan. §205.201(a)</td>
<td>Submitting an incomplete or inaccurate Organic System Plan.</td>
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<tr>
<td><strong>MINOR NONCOMPLIANCES</strong></td>
<td><strong>(MAJOR) NONCOMPLIANCES</strong></td>
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<tr>
<td><strong>Conditions</strong></td>
<td><strong>Noncompliances → Notice of Minor Noncompliance and Corrective Action</strong></td>
</tr>
<tr>
<td>Failure to immediately notify certifying agent of changes to the operation which do not affect the operation’s organic status. §205.400(f)</td>
<td>Failure to immediately notify certifying agent of changes to the operation which affect the operation’s organic status.</td>
</tr>
<tr>
<td>Failure to submit requested documentation to the certifier (such as prior land use forms, non-GMO letters, adjoining land use forms, etc.) §205.201(a)(5)&amp;(6)</td>
<td>Failure to maintain documentation which verifies compliance with NOP standards.</td>
</tr>
<tr>
<td>Maintaining records which are poorly organized and difficult to audit. §205.103(b)(2)</td>
<td>Maintaining records which cannot be audited.</td>
</tr>
<tr>
<td>Poorly organized records which indicate lack of ability to maintain records for 5 years beyond their creation. §205.103(b)(3)</td>
<td>Absence of a system to maintain records for 5 years.</td>
</tr>
<tr>
<td>Failure to fully document compliance with minor noncompliance requirements. §205.103(b)(4)</td>
<td>Failure to fully comply with all minor noncompliances from the previous year.</td>
</tr>
<tr>
<td>Conditions</td>
<td>Minor Noncompliances → Notice of Minor Noncompliance and Corrective Action</td>
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<tr>
<td>Poorly organized, incomplete, or unclear documentation of approved inputs. §205.103(b)(2)&amp;(4)</td>
<td>Failure to obtain documentation for purchase of approved inputs.</td>
</tr>
<tr>
<td>Poor understanding of difference between approved and prohibited materials; no evidence of application. §205.105</td>
<td>Application of “questionable” materials (containing unknown inactive or inert ingredients) without prior approval of certifying agent.</td>
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<tr>
<td>Incomplete records concerning compliance with annotation when “restricted” materials are used. §205.103(b)(4)</td>
<td>Failure to keep documentation verifying compliance with annotations when “restricted” materials are used.</td>
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<tr>
<td>Incomplete documentation of attempts to source organic seeds. §205.204(a)(1)&amp;(2)</td>
<td>Failure to document attempts to source organic seeds.</td>
</tr>
<tr>
<td>Incomplete, unclear, or poorly organized documentation concerning the GMO (excluded method) status of inputs, including seeds, inoculants, and Bt products. §205.105(e) &amp; §205.103(b)(4)</td>
<td>Failure to inquire or document the non-GMO status of inputs, including seeds, inoculants, and Bt products.</td>
</tr>
<tr>
<td>MINOR NONCOMPLIANCES</td>
<td>(MAJOR) NONCOMPLIANCES</td>
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<tr>
<td><strong>Conditions</strong></td>
<td><strong>Minor Noncompliances → Notice of Minor Noncompliance and Corrective Action</strong></td>
</tr>
<tr>
<td>Delays in paying certification and/or inspection fees. §205.400(e)</td>
<td>Failure to pay certification and/or inspection fees.</td>
</tr>
<tr>
<td>Poorly organized field history records. §205.103(b)(2)</td>
<td>Incomplete field history records.</td>
</tr>
<tr>
<td>Lack of adequate detail or clarity on field maps – e.g. maps which do not show acres, field numbers, and/or adjoining land uses. §205.103(b)(4) &amp; §205.202(c)</td>
<td>Inaccurate maps.</td>
</tr>
<tr>
<td>Not recording field numbers on harvest and/or storage records. §205.103(b)(1)&amp;(2)</td>
<td>Not keeping field activity, harvest, and/or storage records up to date.</td>
</tr>
<tr>
<td>Not using a consistent lot numbering system, if lot numbers are needed for the operation to verify compliance. §205.307(b)</td>
<td>Not using lot numbers, if lot numbers are needed for the operation to verify compliance.</td>
</tr>
<tr>
<td>Minor Noncompliances → Notice of Minor Noncompliance and Corrective Action</td>
<td>Major Violations → Notice of Noncompliance and Corrective Action → Denial, Suspension, or Revocation of Certification</td>
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<tr>
<td>Incomplete records of contracted services, such as planting, spraying, harvesting, storage, processing, and/or trucking. §205.103(b)(2)</td>
<td>Failing to keep records of contracted services needed to verify maintenance of organic integrity.</td>
</tr>
<tr>
<td>Inconsistent cleaning of harvest equipment and/or storage units, not resulting in commingling or contamination of organic crop. §205.272(a)</td>
<td>Inability to properly clean harvest equipment and/or storage units, not resulting in commingling or contamination of organic crop.</td>
</tr>
<tr>
<td>Ongoing need to harvest and segregate crops from buffer zones. §205.272(a), §205.201(a)(5) &amp; §205.202(c)</td>
<td>Inadequate buffer zones, possibly resulting in contamination of organic crops.</td>
</tr>
<tr>
<td>Failure to inform neighbors, highway departments, and/or other parties that land adjacent to organic fields should not be sprayed with prohibited materials (or sign no-spray agreements when these are available). §205.272(a), §205.201(a)(5) &amp; §205.202(c)</td>
<td>Failure to document notification of neighbors, highway departments, and/or other parties that land adjacent to organic fields should not be sprayed with prohibited materials.</td>
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**Summary of Comments and Committee Response**

A commenter suggested "that the levels [of violations] be described as follows:

Conditions - Requirements that an operation must comply with in order to obtain or maintain organic certification. Conditions can include the requirement to maintain certain records, to monitor soil quality, to pay required fees or other items that are not violations.

Minor noncompliance - Violations of the standards that are correctable and do not affect the integrity of the organic system or product. A Notice of Noncompliance must be issued for all minor noncompliances in accordance with 205.662.

Major noncompliance - Violations that are not correctable and that affect the integrity of the organic system or product.

Criminal violations - Fraud or violations of state or federal law. These types of violations should be referred to county prosecutors or state attorney general's offices as appropriate.

**Committee Response:**

For the most part we accept your definitions. One exception is the last phrase in the definition for "Conditions". The words "and other items that are not violations" was not added in entirety, as it would indicate that failures to maintain records or pay fees are not be considered violations.

Also, the title "Major noncompliance" was changed to (Major) Noncompliance for reasons later stated.

**Section B recommendations:**

A commenter suggested that "Definition of terms - change "Noncompliance" to "Major Noncompliance." The use of the term "Major Noncompliance" will clearly distinguish this type of violation for the term "Minor Noncompliance." The use of the term "Noncompliance" is imprecise and does not clearly distinguish the term from "minor noncompliance".

**Committee Response:**

As was stated in the Discussion Section of this recommendation:

(Note: A previous draft from the Accreditation Committee referred to “major noncompliances”. Since the term “major” is not used in the Rule, the phrase “major noncompliance” has been replaced by “noncompliance” in this guidance document.)
No change was made.

**Section C Recommendations:**

It was requested that "Minor Noncompliances" change to "Conditions for Continued Certification."

**Committee Response:**

In keeping with the regulatory language, no change was made.

**Section D Recommendations:**

The commenter suggested that we "delete 1…. [and] Replace with "All findings of Minor Noncompliance." And "Delete #4"

It was also suggested that the Distribution Guidelines require all NONC's be copied to the NOP.

**Committee Response:**

We agree the first suggestion and the section was amended as suggested.

We did not add the requirement that all NONC's for Minor Noncompliance require distribution to the NOP. We find the administration of Minor Noncompliances within the purview of the ACA. Requiring copies to the NOP would be burdensome and unnecessary. No change was made.

**Section E Recommendations:**

A commenter requested that Notice of Denial include an effective date.

**Committee Response:**

Based on the fact that a denial suggests that the entity has not received certification, we see no reason to establish the effective date. Indeed the certification never became effective in order to require the stop action. No change was made.