

Compliance & Enforcement/Appeals Summary

Reporting Period: FY 2016 –Q1 (October 2015 – December 2015)



COMPLIANCE & ENFORCEMENT: OVERALL SUMMARY

| | |
|---|----|
| Incoming Complaints | 94 |
| Completed Complaint Reviews and Investigations | 82 |

APPEALS: OVERALL SUMMARY (Refer to [NOP 4011: Adverse Action Appeal Process](#) for more information)

| | |
|--|---|
| Number of Incoming Appeals by Disposition | 4 |
| Decisions | 6 (includes five received in FY15 and one received in FY16) |
| Dismissals | 0 |
| Closures | 6 (includes four received in FY15 and two received in FY16) |

Note: Total reflects appeals closed in FY 2016 regardless of when cases were initiated.

SUMMARY OF INITIAL ACTIONS TAKEN

| | |
|----------------------------------|----|
| Cease & Desist Orders | 8 |
| Notices of Warning | 22 |
| Investigation Referrals | 7 |

SUMMARY OF DISPOSITIONS (All NOP)

| | |
|--|-----------|
| Total Number of Settlement Agreements * | 5 |
| Total Number of Consent Decisions | 1 |
| Total Amount Civil Penalties Levied ** | \$929,750 |

Notes:

* In FY16, not all settlement agreements include civil penalties and not all civil penalties were levied via settlement agreements.

** Total reflects the amount of penalties initially levied. Amounts may change during negotiation of settlements and individual penalty payments may be outstanding.

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