

**Agricultural Marketing Service****Compliance & Enforcement/Appeals Summary**

Reporting Period: Fiscal Year (FY) 2018

COMPLIANCE & ENFORCEMENT: OVERALL SUMMARY

| | Q1 (Oct - Dec 2017) |
|--|---------------------|
| Incoming Complaints | 82 |
| Completed Complaint Reviews and Investigations | 91 |

APPEALS: OVERALL SUMMARY¹ (For more information, refer to [NOP 4011: Adverse Action Appeal Process](#))

| | |
|------------------------|----|
| Number of Incoming | 13 |
| Appeals by Disposition | |
| Decisions | 1 |
| Dismissals | 0 |
| Referrals | 0 |
| Closures ² | 4 |

SUMMARY OF INITIAL ACTIONS TAKEN

| | |
|-------------------------|----|
| Cease & Desist Orders | 6 |
| Notices of Warning | 25 |
| Investigation Referrals | 19 |

SUSPENSIONS AND REVOCATIONS OF OPERATIONS' CERTIFICATION (NOP and CERTIFIER INITIATED)

| | |
|-------------|-----|
| Suspensions | 127 |
| Revocations | 4 |

SUMMARY OF DISPOSITIONS (ALL NOP)

| | |
|--|---------|
| Total: Settlement Agreements ³ | 5 |
| Total: Consent Decisions | 0 |
| Total: Civil Penalties Levied ⁴ | \$3,750 |

GENERAL NOTES

1. Total reflects appeals closed in FY 2018 regardless of when cases were initiated.
2. Two appeals were closed because the certifiers and appellants each reached a settlement agreement; the other two closures occurred because the operations were suspended through separate actions while the appeals were open.
3. Not all settlement agreements include civil penalties and not all civil penalties were levied via settlement agreements.
4. 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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