



## Agricultural Marketing Service

### Compliance & Enforcement/Appeals Summary

Reporting Period: Fiscal Year (FY) 2018

#### COMPLIANCE & ENFORCEMENT: OVERALL SUMMARY

	Q1 (Oct - Dec 2017)	Q2 (Jan - Mar 2018)
Incoming Complaints	85	101
Completed Complaint Reviews and Investigations	91	80

#### APPEALS: OVERALL SUMMARY<sup>1</sup> (For more information, refer to [NOP 4011: Adverse Action Appeal Process](#))

	Q1 (Oct - Dec 2017)	Q2 (Jan - Mar 2018)
Number of Incoming Appeals by Disposition		
Decisions	1	5
Dismissals	0	0
Referrals	0	0
Closures <sup>2</sup>	4	6

#### SUMMARY OF INITIAL ACTIONS TAKEN

	Q1 (Oct - Dec 2017)	Q2 (Jan - Mar 2018)
Cease & Desist Orders	6	2
Notices of Warning	25	14
Investigation Referrals	19	42

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

	Q1 (Oct - Dec 2017)	Q2 (Jan - Mar 2018)
Suspensions	126	103
Revocations	4	3

#### SUMMARY OF DISPOSITIONS (ALL NOP)

	Q1 (Oct - Dec 2017)	Q2 (Jan - Mar 2018)
Total: Settlement Agreements <sup>3</sup>	5	5
Total: Consent Decisions	0	0
Total: Civil Penalties Levied <sup>4</sup>	\$3,750	\$12,000

#### GENERAL NOTES

1. Total reflects appeals closed in FY 2018 regardless of when cases were initiated.
2. Two appeals were closed for Q1 and three were closed for Q2 because the certifiers and appellants each reached a settlement agreement; two appeals for Q1 were closed because the operations were suspended through separate actions while the appeals were open; three appeals were closed for Q2 because the operations withdrew their appeals.
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

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