



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)	Q3 (Apr - Jun 2018)
Incoming Complaints	85	101	103
Completed Complaint Reviews and Investigations	91	80	63

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

	Q1 (Oct - Dec 2017)	Q2 (Jan - Mar 2018)	Q3 (Apr - Jun 2018)
Number of Incoming	13	15	7
Appeals by Disposition			
Decisions	1	5	5
Dismissals	0	0	0
Referrals	0	0	0
Closures	4	6	11

SUMMARY OF INITIAL ACTIONS TAKEN

	Q1 (Oct - Dec 2017)	Q2 (Jan - Mar 2018)	Q3 (Apr - Jun 2018)
Cease & Desist Orders	6	2	0
Notices of Warning	25	14	23
Investigation Referrals	19	42	33

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

	Q1 (Oct - Dec 2017)	Q2 (Jan - Mar 2018)	Q3 (Apr - Jun 2018)
Suspensions	137	118	120
Revocations	4	3	5

SUMMARY OF DISPOSITIONS (ALL NOP)

	Q1 (Oct - Dec 2017)	Q2 (Jan - Mar 2018)	Q3 (Apr - Jun 2018)
Total: Settlement Agreements ²	5	5	0
Total: Consent Decisions	0	0	0
Total: Civil Penalties Levied ³	\$3,750	\$12,000	\$5,000

GENERAL NOTES

- Total reflects appeals closed in FY 2018 regardless of when cases were initiated.
- Three appeals were closed because the certifiers and appellants each reached a settlement agreement; seven appeals were closed because AMS and the appellants each reached a settlement agreement; the other appeal was closed because the certifying agent did not renew its accreditation.
- 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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