



Agricultural Marketing Service

Compliance & Enforcement/Appeals Summary

Reporting Period: Fiscal Year (FY) 2019

COMPLIANCE & ENFORCEMENT: OVERALL SUMMARY

	Q1 (Oct - Dec 2018)
Incoming Complaints	83
Incoming Questions/Inquiries ¹	53
Completed Complaint Reviews and Investigations	46

APPEALS: OVERALL SUMMARY² (For more information, refer to [NOP 4011: Adverse Action Appeal Process](#))

Number of Incoming	14
Appeals by Disposition	
Decisions	2
Dismissals	1
Referrals	0
Closures ³	4

SUMMARY OF INITIAL ACTIONS TAKEN

Cease & Desist Orders	0
Notices of Warning	12
Investigation Referrals	40

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

Suspensions	198
Revocations	2

SUMMARY OF DISPOSITIONS (ALL NOP)

Total: Settlement Agreements ⁴	4
Total: Consent Decisions	0
Total: Civil Penalties Levied ⁵	\$187,500

GENERAL NOTES

1. Incoming inquiries with insufficient evidence and/or questions that do not indicate a violation are closed with correspondence.
2. Total reflects appeals closed in FY 2019 regardless of when cases were initiated.
3. For FY 2019 Q1, two appeals were closed because the appellants withdrew their appeals; two appeals were closed because the NOP and the appellants reached settlement agreements.
4. Not all settlement agreements include civil penalties and not all civil penalties were levied via settlement agreements.
5. 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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