



Agricultural Marketing Service

Compliance & Enforcement/Appeals Summary

Reporting Period: Fiscal Year (FY) 2019

COMPLIANCE & ENFORCEMENT: OVERALL SUMMARY

Updated May 14, 2019

	Q1 (Oct - Dec 2018)	Q2 (Jan - Mar 2019)
Incoming Complaints	83	67
Incoming Questions/Inquiries ¹	53	60
Completed Complaint Reviews and Investigations	46	129

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

Number of Incoming	14	18
Appeals by Disposition		
Decisions	2	4
Dismissals	1	4
Referrals	0	0
Closures ³	4	7

SUMMARY OF INITIAL ACTIONS TAKEN

Cease & Desist Orders	0	3
Notices of Warning	12	17
Investigation Referrals	40	12

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

Suspensions	200	126
Revocations	3	0

SUMMARY OF DISPOSITIONS (ALL NOP)

Total: Settlement Agreements ⁴	4	5
Total: Consent Decisions	0	0
Total: Civil Penalties Levied ⁵	\$187,500	\$504,000

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 Q2, one appeal was closed because the appellant withdrew their appeal; one appeal was closed because the certifier and appellant reached a settlement agreement; and five 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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