

Compliance & Enforcement/Appeals Summary

Reporting Period: Fiscal Year (FY) 2017



COMPLIANCE & ENFORCEMENT: OVERALL SUMMARY

	Q1 (Oct 2016 - Dec 2016)	Q2 (Jan 2017 - Mar 2017)
Incoming Complaints	64	121
Completed Complaint Reviews and Investigations	21	48

APPEALS: OVERALL SUMMARY ¹ (Refer to [NOP 4011: Adverse Action Appeal Process](#) for more information)

Number of Incoming Appeals by Disposition	12	11
Decisions	1	0
Dismissals	0	0
Referrals	0	1
Closures	4	0

SUMMARY OF INITIAL ACTIONS TAKEN

Cease & Desist Orders	3	3
Notices of Warning	4	25
Investigation Referrals	3	15

SUMMARY OF DISPOSITIONS (All NOP)

Total # of Settlement Agreements ²	6	9
Total # of Consent Decisions	0	0
Total Amount Civil Penalties Levied ³	\$45,000	\$38,250

ADMINISTRATIVE PROCEEDING NOTES

General Notes:

1. Total reflects appeals closed in FY 2017 regardless of when cases were initiated.
2. Not all settlement agreements include civil penalties and not all civil penalties were levied via settlement agreements.
3. 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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