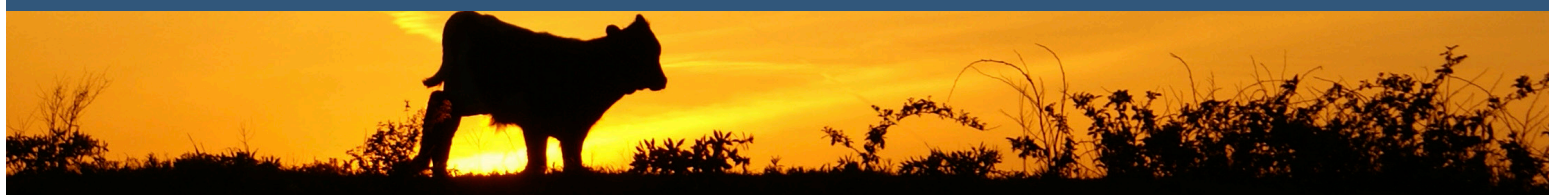


Compliance & Enforcement/Appeals Summary

Reporting Period: Fiscal Year (FY) 2016



COMPLIANCE & ENFORCEMENT: OVERALL SUMMARY

	Q1	Q2	Q3	Q4	FY 16 Summary (Oct 2015 - Sept 2016)
Incoming Complaints	121	121	135	122	499
Completed Complaint Reviews and Investigations	82	93	76	106	357

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

	Q1	Q2	Q3	Q4	FY 16 Summary
Number of Incoming	4	8	5	15	32
Appeals by Disposition					
Decisions	6	0	1	1	8 (Q1: includes 5 received in FY15 and 1 in FY 16)
Dismissals	0	2	0	1	3
Referrals	0	0	0	1	1 (Q4: referred to CASOP ²)
Closures ³	6	3	1	4	14 (Q1: includes 4 received in FY15 and 2 in FY 16)

SUMMARY OF INITIAL ACTIONS TAKEN

	Q1	Q2	Q3	Q4	FY 16 Summary
Cease & Desist Orders	12	7	4	8	31
Notices of Warning	23	33	23	32	111
Investigation Referrals	13	18	14	13	58

SUMMARY OF DISPOSITIONS (All NOP)

	Q1	Q2	Q3	Q4	FY 16 Summary
Total # of Settlement Agreements ⁴	5	2	7	5	19 (Q3: includes 1 received in FY15)
Total # of Consent Decisions	1	0	0	0	1
Total Amount Civil Penalties Levied ⁵	\$34,750	\$16,500	\$341,000	\$5,500	\$397,750

ADMINISTRATIVE PROCEEDING NOTES

1. On March 30, 2016, Bernard Saul of Bliss, Idaho, pleaded guilty to wire fraud and money laundering in connection with the sale of conventional alfalfa seed as organic. The National Organic Program and the Idaho State Department of Agriculture assisted the USDA Office of Inspector General with the investigation.
2. On April 1, 2016, a USDA Administrative Law Judge entered a consent decision regarding the sale of agricultural products as organic without certification by Yorgo Foods, Inc. (Yorgo), of Manchester, New Hampshire. Per the decision, Yorgo agreed to a 3-year suspension of its organic certification and a civil penalty of \$880,000, with \$540,000 held in abeyance, provided it complies with the OFPA and the USDA organic regulations during the period of suspension.

General Notes:

1. Total reflects appeals closed in FY 2016 regardless of when cases were initiated.
2. California State Organic Program (CASOP) oversees organic enforcement in the state of California, and is currently the only approved State Organic Program in the United States.
3. All closures in Q4 were the result of the certifier reaching a settlement agreement with the operator to bring the operator into compliance.
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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