

Compliance & Enforcement/Appeals Summary

Reporting Period: FY 2016



COMPLIANCE & ENFORCEMENT: OVERALL SUMMARY

	Q1 (Oct 2015 - Dec 2015)	Q2 (Jan 2016 - May 2016)
Incoming Complaints	94	97
Completed Complaint Reviews and Investigations	82	93

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

Number of Incoming Appeals by Disposition		
Decisions	4	8
Dismissals	6 (includes five received in FY15 and one received in FY16)	0
Closures	0	2
	6 (includes four received in FY15 and two received in FY16)	3 (includes appeals received in FY15)

Note: Total reflects appeals closed in FY 2016 regardless of when cases were initiated.

SUMMARY OF INITIAL ACTIONS TAKEN

Cease & Desist Orders	8	6
Notices of Warning	22	32
Investigation Referrals	7	16

SUMMARY OF DISPOSITIONS (All NOP)

Total Number of Settlement Agreements *	5	2
Total Number of Consent Decisions	1	0
Total Amount Civil Penalties Levied **	\$929,750	\$16,500

Notes:

* 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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