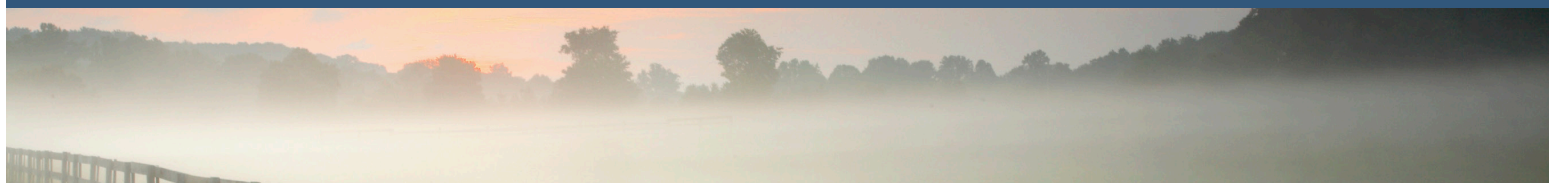


# Compliance & Enforcement/Appeals Summary

Reporting Period: Fiscal Year (FY) 2016



## COMPLIANCE & ENFORCEMENT: OVERALL SUMMARY

	Q1 (Oct - Dec 2015)	Q2 (Jan - Mar 2016)	Q3 (Apr - Jun 2016)
<b>Incoming Complaints</b>	94	97	132
<b>Completed Complaint Reviews and Investigations</b>	82	93	76

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

<b>Number of Incoming</b>	4	8	5
<b>Appeals by Disposition</b>			
<b>Decisions</b>	6 (includes five received in FY15 and one received in FY16)	0	1
<b>Dismissals</b>	0	2	0
<b>Closures</b>	6 (includes four received in FY15 and two received in FY16)	3 (includes appeals received in FY15)	1

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

## SUMMARY OF INITIAL ACTIONS TAKEN

<b>Cease &amp; Desist Orders</b>	8	6	3
<b>Notices of Warning</b>	22	32	20
<b>Investigation Referrals</b>	7	16	11

## SUMMARY OF DISPOSITIONS (All NOP)

<b>Total Number of Settlement Agreements *</b>	5	2	7 (includes one appeal received in FY15)
<b>Total Number of Consent Decisions</b>	1	0	0
<b>Total Amount Civil Penalties Levied **</b>	\$929,750	\$16,500	\$1,000

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.

**Want to become an organic insider?** Sign up to receive email updates from the NOP: [NOPOrganicInsider](#)