

Compliance & Enforcement/Appeals Summary

Reporting Period: Fiscal Year (FY) 2017



COMPLIANCE & ENFORCEMENT: OVERALL SUMMARY

	Q1 (Oct 2016 - Dec 2016)	Q2 (Jan 2017 - Mar 2017)	Q3 (Apr 2017 - Jun 2017)
Incoming Complaints	64	121	67
Completed Complaint Reviews and Investigations	21	48	196

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

Number of Incoming Appeals by Disposition	12	11	12
Decisions	1	0	3
Dismissals	0	0	0
Referrals	0	1	0
Closures	4	0	2

SUMMARY OF INITIAL ACTIONS TAKEN

Cease & Desist Orders	3	3	7
Notices of Warning	4	25	39
Investigation Referrals	3	15	91

SUSPENSIONS AND REVOCATIONS OF CERTIFICATION (NOP and Certifier Initiated)

Operation Certification Suspensions	73	52	56
Operation Certification Revocations	2	2	7

SUMMARY OF DISPOSITIONS (All NOP)

Total # of Settlement Agreements ²	6	9	12
Total # of Consent Decisions	0	0	1
Total Amount Civil Penalties Levied ³	\$45,000	\$38,250	\$56,500

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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