



## Agricultural Marketing Service

### Compliance & Enforcement/Appeals Summary

Reporting Period: Fiscal Year (FY) 2019

#### COMPLIANCE & ENFORCEMENT: OVERALL SUMMARY

Updated October 9, 2019

	Q1 (Oct - Dec 2018)	Q2 (Jan - Mar 2019)	Q3 (Apr - Jun 2019)	Q4 (Jul - Sep 2019)	FY 19 Summary
Incoming Complaints	105	66	145	58	374
Incoming Questions/Inquiries <sup>1</sup>	53	15	133	90	291
Completed Complaint Reviews and Investigations	105	80	177	308	670

#### APPEALS: OVERALL SUMMARY<sup>2</sup> (For more information, refer to [NOP 4011: Adverse Action Appeal Process](#))

Number of Incoming	17	24	21	17	79
Appeals by Disposition					
Decisions	2	4	4	3	13
Dismissals	1	5	5	5	16
Referrals	0	0	0	3	3
Closures <sup>3</sup>	4	7	7	16	34

#### SUMMARY OF INITIAL ACTIONS TAKEN

Cease & Desist Orders	0	4	3	1	8
Notices of Warning	24	23	28	77	152
Investigation Referrals	39	12	26	28	105

#### SUSPENSIONS AND REVOCATIONS OF OPERATIONS' CERTIFICATION (NOP and CERTIFIER INITIATED)

Suspensions	200	137	128	130	595
Revocations	3	0	9	2	14

#### SUMMARY OF DISPOSITIONS (ALL NOP)

Total: Settlement Agreements <sup>4</sup>	4	5	10	17	36
Total: Consent Decisions	0	0	2	0	2
Total: Civil Penalties Levied <sup>5</sup>	\$187,500	\$504,000	\$31,500	\$81,300	\$804,300

#### GENERAL NOTES

1. Incoming inquiries with insufficient evidence and/or questions that do not indicate a violation are closed with correspondence.
2. Total reflects appeals closed in FY 2019 regardless of when cases were initiated.
3. For FY 2019 Q4, 16 appeals were closed because the NOP and the appellant reached a settlement agreement.
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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