



# ATCM End-to-End Regulatory Case Flowchart

(Complaints → FtP → PCC → Appeal → Final Outcome)

**Effective Date: March 2026**

**Next Review Date: October 2027**

## Complaint Received

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**Acknowledgement (within 10 working days)**

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**Initial Triage & Risk Assessment**

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**Is it within ATCM jurisdiction?**

- No → Close / Refer to external body
- Yes

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**Risk Level Determined**

- Level 1 → Early Resolution (low risk cases only, where public protection is not compromised) → Close
- Level 2 → Formal Investigation
- Level 3 → Consider Interim Measures (at any stage) + Investigation

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**Investigation Stage**

(evidence gathering, practitioner response)

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**Case Examiner Review**

- No Case to Answer → Close
- Advice / Warning → Conclude

- Refer to Hearing

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### **PCC Hearing**

(evidence + submissions + deliberation)

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### **Decision:**

- Facts
- Impairment
- Sanction

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### **Written Outcome Issued**

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### **Publication Decision (if applicable)**

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### **Appeal?**

- No → Case Closed
- Yes

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### **Appeal Submitted (within 28 days)**

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### **Acknowledgement (within 5–10 working days)**

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### **Initial Administrative Review**

(time limit, grounds, completeness)

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### **Is the appeal valid?**

- No → Reject Appeal with Reasons → Case Closed
- Yes

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## **PCAC Convened**

(independent of PCC; no prior involvement)

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## **Notice of Appeal Hearing Issued**

( $\geq$  15 days in advance)

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## **Preparation Stage**

(written submissions, evidence, applications)

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## **Preliminary Decisions (if required)**

- Admit / refuse new evidence
- Adjournment requests
- Directions issued

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## **Appeal Hearing**

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## **PCAC Consideration**

- Grounds of appeal
- PCC findings and reasoning
- New evidence (if admitted)

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## **Final Decision**

- Uphold PCC decision
- Allow appeal (in whole or in part)
- Vary or substitute sanction
- Refer case back to PCC

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## **Written Appeal Outcome Issued**

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**Publication Decision** (based on risk, seriousness, public interest, and insight)

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**Final Outcome Implemented**

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**Case Closed**

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(Where applicable)

**Future Application for Re-admission**

(considered in accordance with ATCM Indicative Sanctions Guidance)

## **Notes on Flowchart Application**

- Complaints may arise from breaches of ATCM professional standards, including the Code of Professional Conduct, Code of Practice, and Professional Titles and Advertising Standards.
- Risk assessment is continuous and may be reviewed and updated at any stage of the process.
- Interim measures may be imposed, reviewed, varied, or revoked at any stage where necessary to protect the public or otherwise in the public interest.
- Early resolution is appropriate only in low-risk cases and where it is consistent with public protection and the wider public interest.
- Decisions are made on the civil standard of proof (balance of probabilities).
- The primary objective throughout the process is the protection of the public. This includes maintaining public confidence in the profession and upholding proper professional standards.
- Failure to engage with the regulatory process may be taken into account when assessing risk, insight, credibility, and the appropriate sanction. Proceedings may continue in the absence of the registrant where appropriate.
- Appeals are not a full rehearing of the case, unless this is necessary in the interests of justice.
- An appeal is distinct from re-admission. An appeal challenges a decision within a defined timeframe, whereas re-admission is a separate process following removal.
- Re-admission is not automatic and will only be granted where the applicant demonstrates that they are safe to return to practice, in accordance with the ATCM Indicative Sanctions Guidance.

- Independence must be maintained between investigation, case examination, PCC decision-making, and appeal (PCAC).

**Independence must be maintained between:**

- Investigation
- case examination
- PCC hearing
- appeal (PCAC)

Approved by ATCM council