Compliance Complaint Review Flowchart

Complaint Received

- Insufficient Information Or Documentation Received To Substantiate Complaint
  - Complainant Unknown
    - Cannot Contact
      - No Additional Information Received
        - Complaint Closed
        - Insufficient Information Provided To Initiate An Investigation
  - Complainant Known
    - Follow Up Contact
      - Additional Information Received
        - Verifying Violation
          - Investigatory Letter Sent To Respondent
            - Response Received
              - Response Not Received After Two Attempts
                - Additional Information Received Verifying Violation
                  - Matter Reopened
            - No Action Taken
              - Compliance Investigation Closed
        - Additional Information Received
          - Verifying Violation
            - Matter Reopened
      - No Additional Information Received
        - Response
          - Response Not Received After Two Attempts
            - Additional Information Received Verifying Violation
              - Matter Reopened
    - Not Violation Of APCA Compliance Standards
      - No Action Taken
        - Compliance Investigation Closed
      - Additional Information Received Verifying Violation
        - Matter Reopened

- Sufficient Information/Documentation Received To Substantiate Complaint
  - Investigatory Letter Sent To Respondent
    - Response Received
      - Response Not Received After Two Attempts
        - Additional Information Received Verifying Violation
          - Matter Reopened
    - No Action Taken
      - Compliance Investigation Closed
  - Not Violation Of APCA Compliance Standards
    - No Action Taken
      - Compliance Investigation Closed
    - Additional Information Received Verifying Violation
      - Matter Reopened

- Insufficient Information Provided To Initiate An Investigation
  - Additional Information Received
    - Verifying Violation
      - Matter Reopened
  - Sanction Issued
    - 30 Day Appeal Period From Day Respondent Receives Compliance Order
      - Appeal Not Received
        - Sanction(s) Final Published In APCA Online Sanction Listing
      - Appeal Received
        - Appeal Not Received
          - Sanction(s) Final Published In APCA Online Sanction Listing
        - Appeal Received
          - Sanction(s) Upheld Published In APCA Online Sanction Listing
          - Sanction Overturned In Whole Or In Part

- Matter Forwarded To Compliance Review Panel (CRP)
  - Referred To Compliance Hearing Panel (CHP)
    - Sanction Issued
      - 30 Day Appeal Period From Day Respondent Receives Compliance Order
        - Appeal Not Received
          - Sanction(s) Final Published In APCA Online Sanction Listing
        - Appeal Received
          - Sanction(s) Upheld Published In APCA Online Sanction Listing
          - Sanction Overturned In Whole Or In Part
  - Cease/Desist Action Or Other Settlement
    - Please Refer To The APCA Compliance Policies For More Information

- No Action Taken Letter/Order Mailed Advising That Although No Action Has Been Taken, Future Occurrences May Be Grounds For Sanction.
  - Matter Forwarded To Compliance Appeal Panel