## **UR Enforcement Policy Approach and Procedure flowchart** Note: AR means 'Alternative' Resolution' NOTE: the UR Possible issue identified **Initial Enquiry** Stage Assess the issue/gather further information. Investigation Team decide on ONE of either: A. No case Publish Close C. AR and Issue B. Minor case with a quick solution Close D. Investigation team decision to open an investigation Formal enforcement commences Continuation of the investigation and development of initial findings. **Enforcement Publish** Investigation Team decide on ONE of either: Action Stage 1 A. No case **Publish** C. Case will progress to Enforcement Action Stage 2 to and make a formal determination on enforcement action B. AR Close No AR after this point Investigation Team prepares preliminary Summary of Initial Findings (SIF) and invite **Enforcement** representations from company Action Stage 2 Settlement Committee consider final SIF and provide settlement mandate Draft penalty notice shared with company and discussions on settlement begin 1st settlement Investigation team produce draft Yes No Does the company wish to window Statement of Case (SOC) and settle? agreement signed invite representations from company If no settlement is agreed the Investigation Team 2<sup>nd</sup> settlement window will finalise the SOC agreement signed Enforcement Committee considers the SOC and makes a preliminary determination **Enforcement** on contravention and on enforcement order and/or financial penalty (as applicable) Action Stage 3 Invite and consider Is the preliminary Publish No Yes written determination a and representations on finding of a Close the preliminary contravention? determination **Enforcement** Enforcement committee minded to decision following preliminary determination Action Stage 4 Publish statutory consultation on enforcement order and/or financial penalty (as applicable) Relevant Committee considers representations received from statutory consultation Make final decision and publish