

Stages of an investigation

Stage 1

Information gathering

1. Consumer reports
2. PSA monitoring
3. Reports from security intelligence sources or other enforcement bodies
4. Reports from industry
5. Responses to requests for information.

Stage 2

Service assessment

1. Informal enquiries are made
2. Relevant cases are prepared for consideration by the Allocation Team

Decisions that may be taken at the allocation meeting:

1. Allocate to Track 1
2. Allocate to Track 2
3. Do not allocate - case remains with Service Assessment Team for further enquiries or to notify the provider of case closure.

Stage 3

Investigation

1. Track 1: investigation carried out and Action Plan agreed with the provider
2. Track 2: interim measures sought where necessary. Investigations carried out. Where there is sufficient evidence of breaches, Warning Notice prepared. In appropriate circumstances, case closed or downgraded to Track 1.
3. Warning Notice is considered by the Investigations Oversight Panel and opportunity for provider to respond.
4. Adjudication by the Code Adjudication Tribunal.

Stage 4

Review

1. Either party may seek a review of the decision of the Code Adjudication Panel
2. Application for review considered by the Chair of the Code Adjudication Panel
3. If merited, review carried out by a differently constituted Code Adjudication Tribunal.