



Regulatory Inspection and Enforcement: Risk-Based Inspections, Sanctions and Appeals



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Introduction:

Regulatory inspection and enforcement lose credibility when inspectors visit the same low-risk licensees every year, findings rest on thin evidence, sanctions vary from one officer to the next and licensees win appeals on procedural grounds. This Core Concept course equips regulatory agency staff to target inspections by risk, run establishment visits that produce admissible evidence, investigate suspected breaches, choose a proportionate response on the enforcement pyramid and defend it on appeal. Participants build a Risk-Based Inspection Programme and an Enforcement Decision File for a case licensee.

Course Objectives:

- Interpret the agency's statutory mandate and translate it into a risk-based regulation model with licensee risk ratings
- Design a risk-based inspection programme that targets visits by hazard, licensee track record and intelligence rather than by rota
- Lead announced and unannounced establishment inspections using structured checklists, digital monitoring data and sound evidence records
- Conduct compliance investigations and interviews that establish facts, attribute responsibility and preserve the chain of evidence
- Select and justify a proportionate enforcement response, from advice to licence suspension, with due process and a record that withstands licensee appeal
- Measure inspectorate performance and safeguard regulator independence, integrity and transparency

Target Audience:

- Inspection team leaders who plan field visits and supervise inspectors across licensed establishments
 - Enforcement and legal affairs managers who decide sanctions, sign notices and defend decisions on appeal
 - Licensing managers who grant, vary and renew licences and monitor licensee conditions
 - Investigation unit managers who handle complaints, whistleblower reports and suspected breaches
 - Regulatory policy and performance managers who set inspection strategy and report on regulator outcomes
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Course Outline:

Day 1: Regulatory Mandate, Licensing and Risk-Based Regulation

- Statutory Mandate Mapping: Powers, Duties and Limits of the Inspectorate
- Licensing Regime Architecture: Entry Conditions, Licence Variations and Renewals
- Licensee Register and Risk Rating Matrix by Hazard and Compliance History
- Regulatee Motivational Postures: Accommodating, Captured, Resistant and Disengaged
- Inspectorate Current-State Diagnostic Against Risk-Based Regulation Criteria

Day 2: Enforcement Principles, Responsive Regulation and Inspection Targeting

- OECD Best Practice Principles for Regulatory Enforcement and Inspections
- Responsive Regulation and the Enforcement Pyramid of Escalating Interventions
- Inspection Targeting Model: Hazard Weighting, Intelligence Feeds and Selectivity
- Annual Inspection Plan Allocation Across Licensee Risk Bands
- Compliance Promotion Tools: Guidance Notes, Self-Assessment Returns and Outreach

Day 3: Conducting Establishment Inspections and Gathering Evidence

- Pre-Visit Licensee File Review and Announced Versus Unannounced Visit Choice
- Establishment Inspection Protocol: Entry, Opening Meeting, Walk-Through and Exit Brief
- Sector-Neutral Inspection Checklist Design and Digital Inspection Apps
- Remote Monitoring Data, Licensee Self-Reports and Desk-Based Supervision
- Inspection Evidence Log: Photographs, Records Seized, Samples and Officer Notebooks

Day 4: Compliance Investigations, Sanctions, Due Process and Appeals

- Compliance Investigation Plan: Allegation Scoping, Lines of Enquiry and Evidence Matrix
- Investigative Interviews of Licensee Managers and Witnesses Using the PEACE Model
- Sanction Selection Grid: Advice, Warning Letter, Improvement Notice, Penalty and Suspension
- Proportionality Test, Right to Be Heard and Reasoned Enforcement Decisions
- Licensee Appeals, Internal Review and Regulatory Capture Safeguards

Day 5: Case Licensee: Inspection Programme and Enforcement Decision File

- Case Licensee Portfolio Briefing: Licence Conditions, Inspection History and Complaints
 - Risk-Based Inspection Programme Build for the Case Portfolio
 - Enforcement Decision File Drafting for a Detected Breach
 - Mock Appeal Hearing: Defending the Enforcement Decision Before a Review Panel
 - Inspectorate Performance Scorecard and Independence Safeguards Action Plan
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Skills You Will Gain:

- Statutory Mandate Analysis
- Licensee Risk Rating
- Inspection Targeting
- Establishment Inspection Leadership
- Investigative Interviewing
- Evidence Preservation
- Sanction Proportionality Assessment
- Appeal Defence Preparation

Why Attend This Course:

- Return with a Risk-Based Inspection Programme and an Enforcement Decision File, both tested against a case licensee and a mock appeal
- Redirect inspector hours away from routine low-risk visits and towards the licensees most likely to cause harm
- Issue sanctions that are consistent between officers and survive licensee challenge on proportionality and fairness
- Compare inspectorate practice with regulators from health, transport, utilities, financial services and municipal licensing

Conclusion:

Regulators protect the public when inspection effort follows risk, evidence is gathered to a standard that stands up on review and enforcement escalates only as far as the licensee's behaviour requires. The course moves from statutory mandate, licensing and risk rating, through the enforcement pyramid and inspection targeting, to establishment visits, investigations, sanction selection, due process and appeals. The final day applies these methods to a case licensee portfolio and produces a Risk-Based Inspection Programme and an Enforcement Decision File defended before a mock appeal panel.
