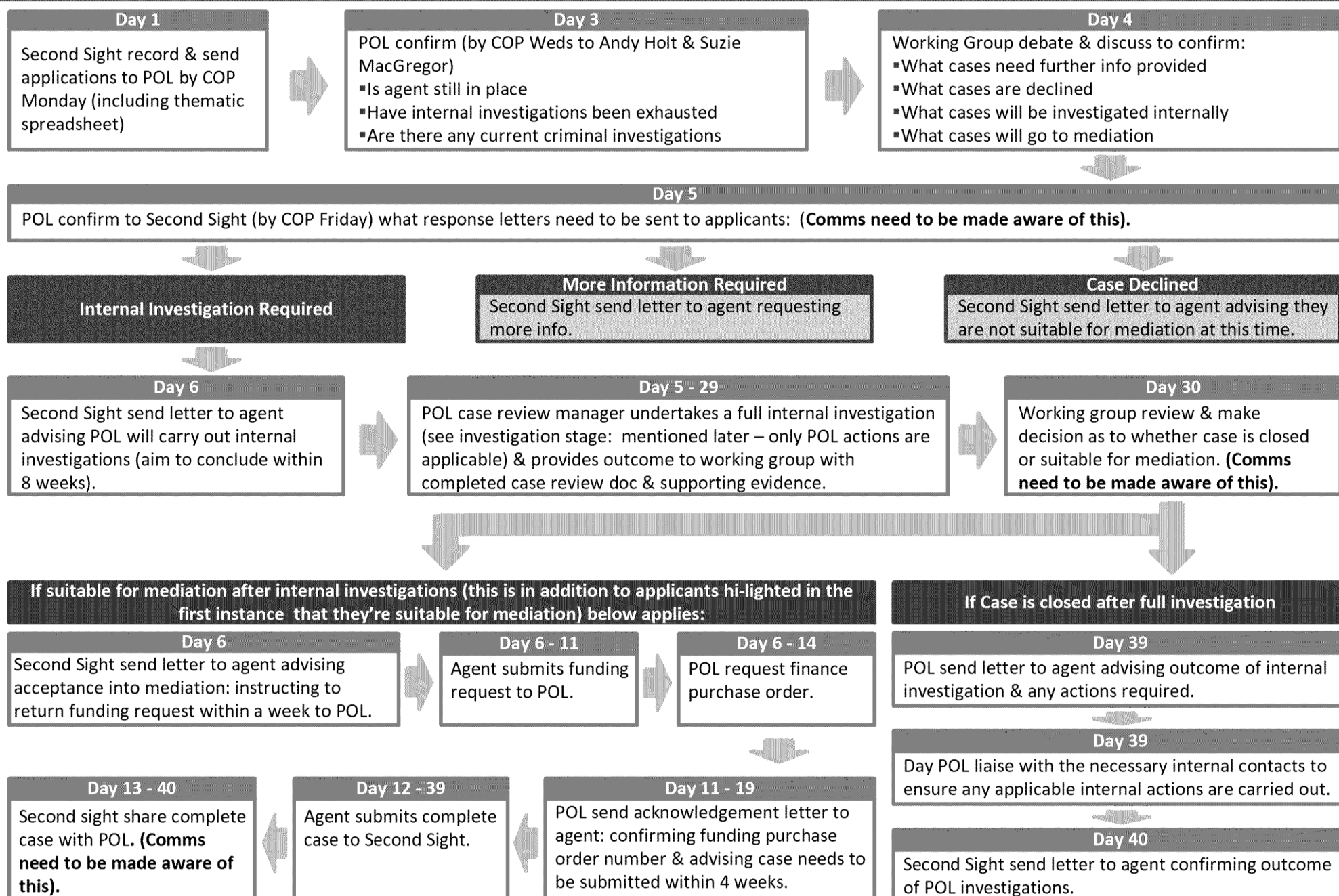
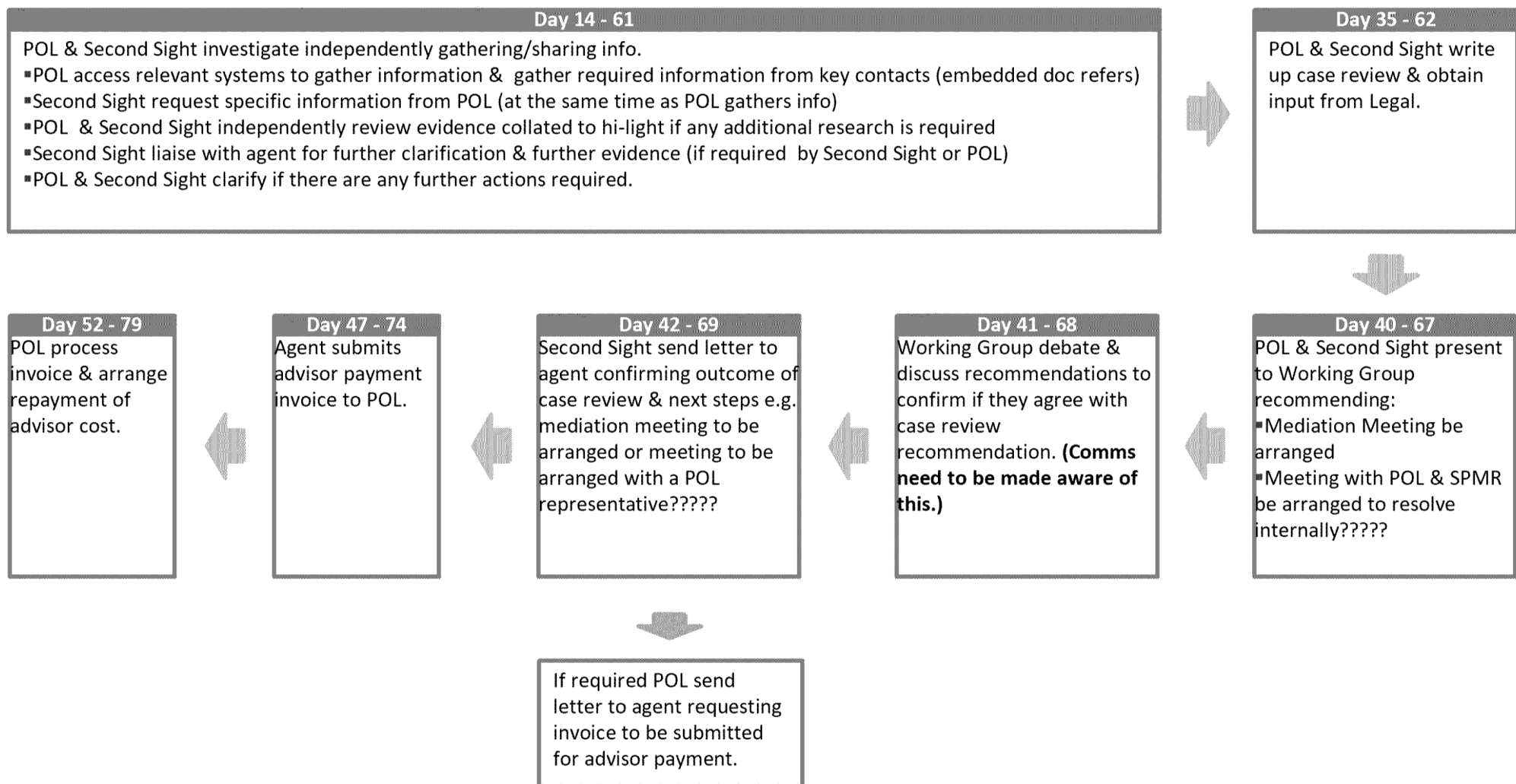


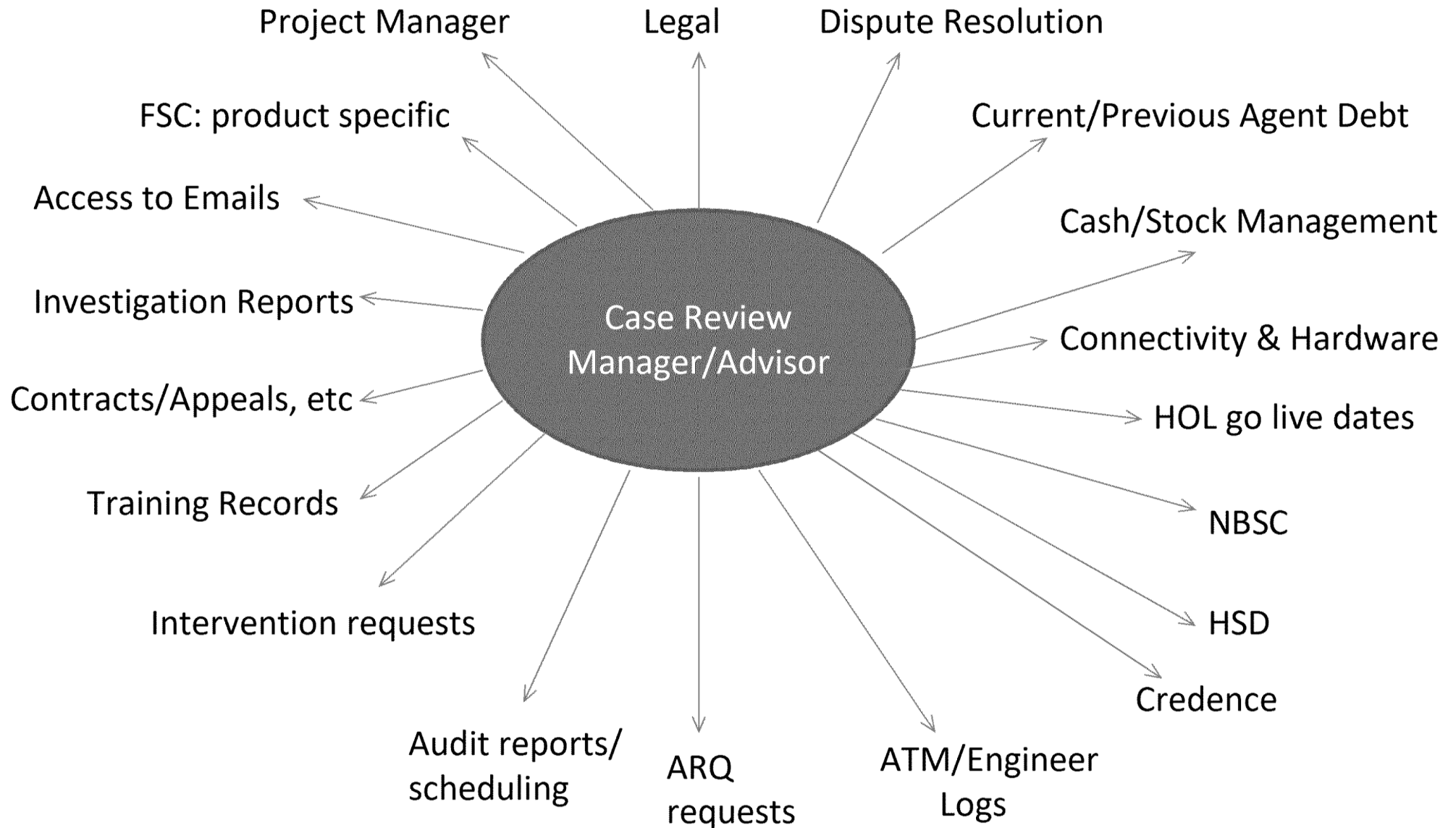
Application Stage: Agent submits mediation application to Second Sight



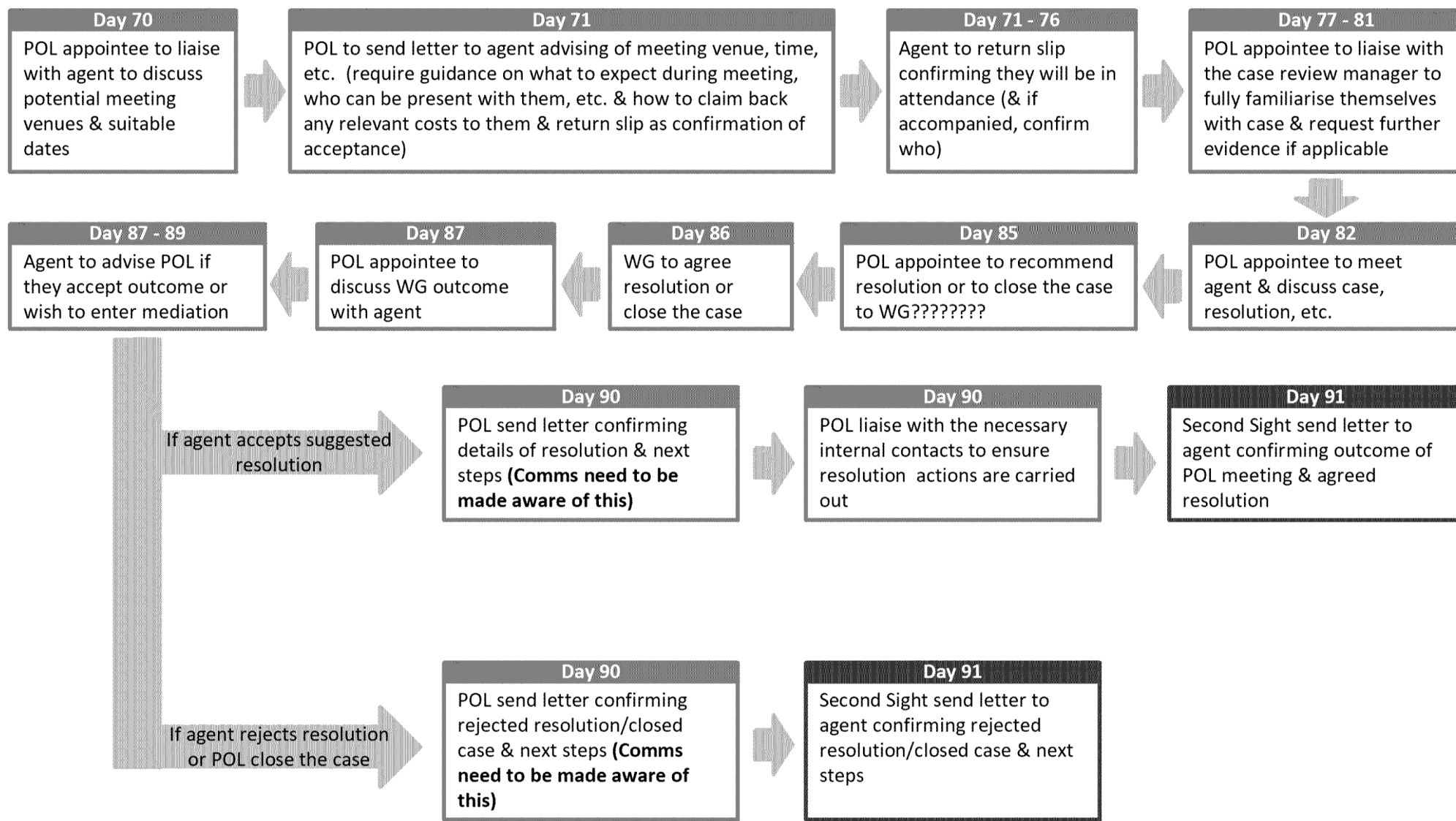
Internal Investigation Stage



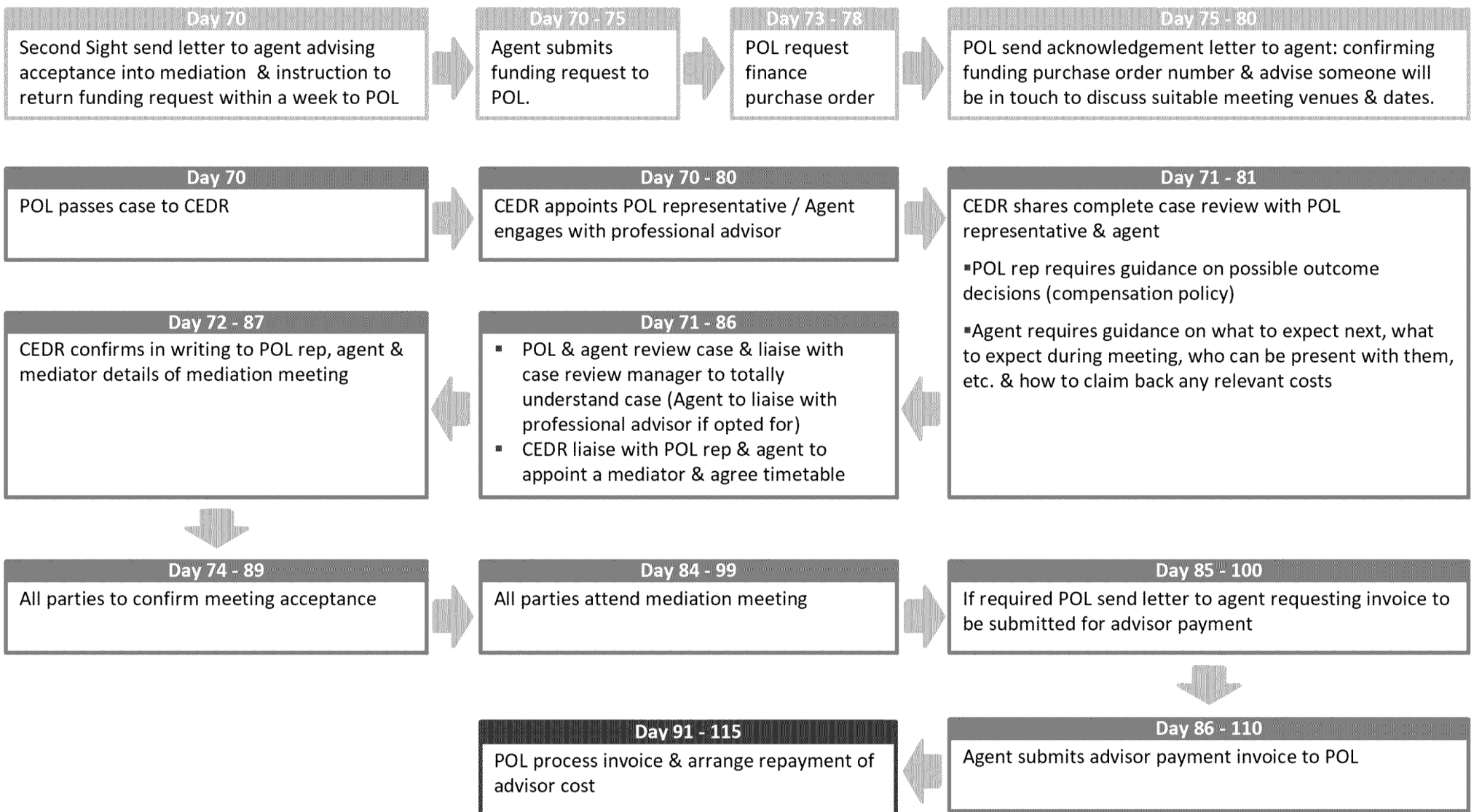
Investigation Touch Points



Mediation Stage (If meeting with SPMR arranged to resolve internally):



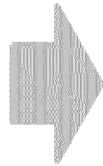
Mediation Stage : If mediation meeting is to go ahead (this can also include where agent already had meeting with POL appointee, but resolution has been rejected or POL close the case)



Outcome

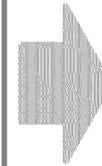
Day 84 - 99

Mediator advises all parties of the outcome (is this done on the day of meeting? ???) **(Comms need to be made aware of this)**



Day 87 - 102

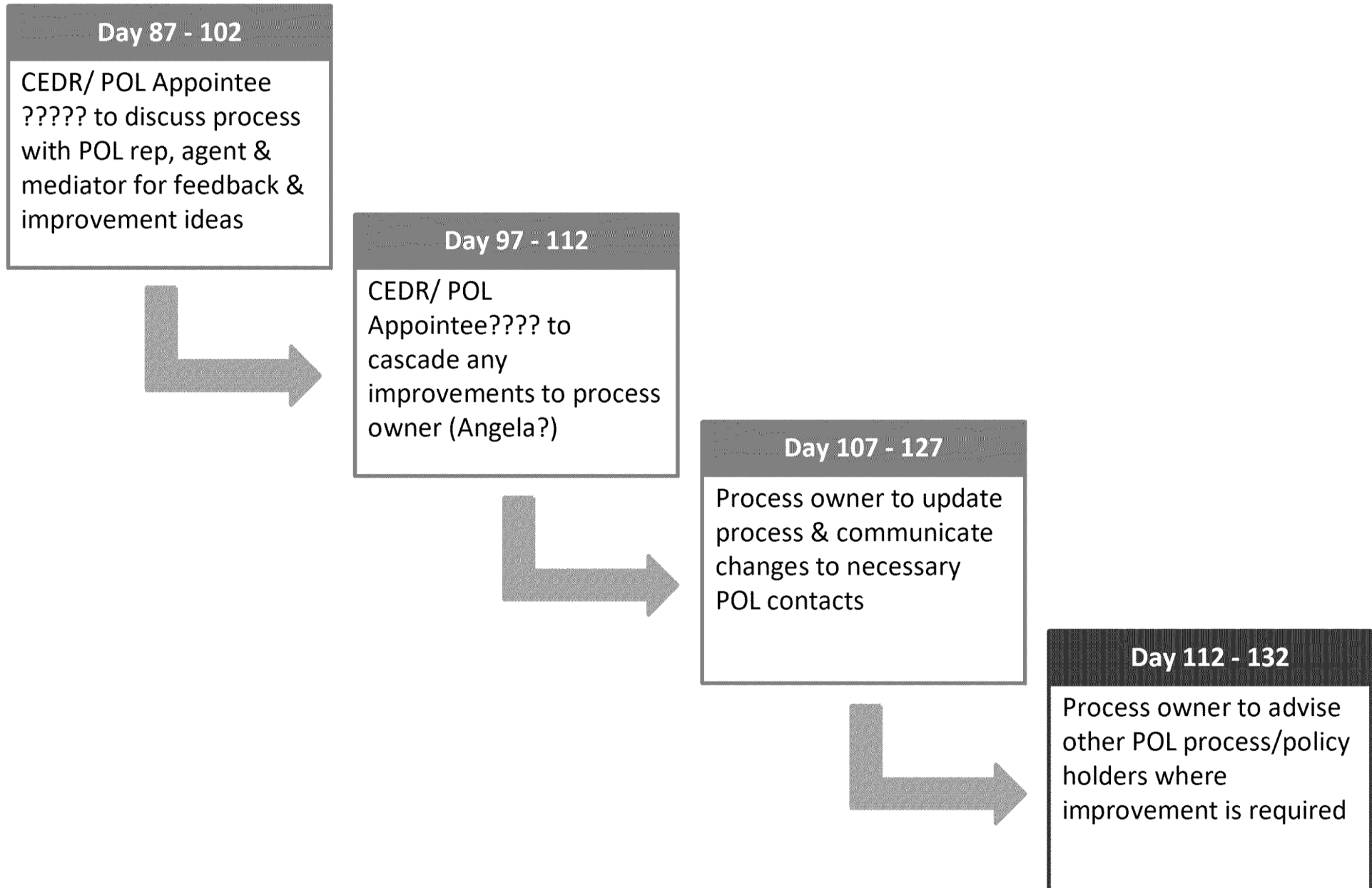
- CEDR confirms in writing to all parties mediation outcome & agreed actions
- CEDR liaise with necessary internal contacts to ensure mediation actions are carried out



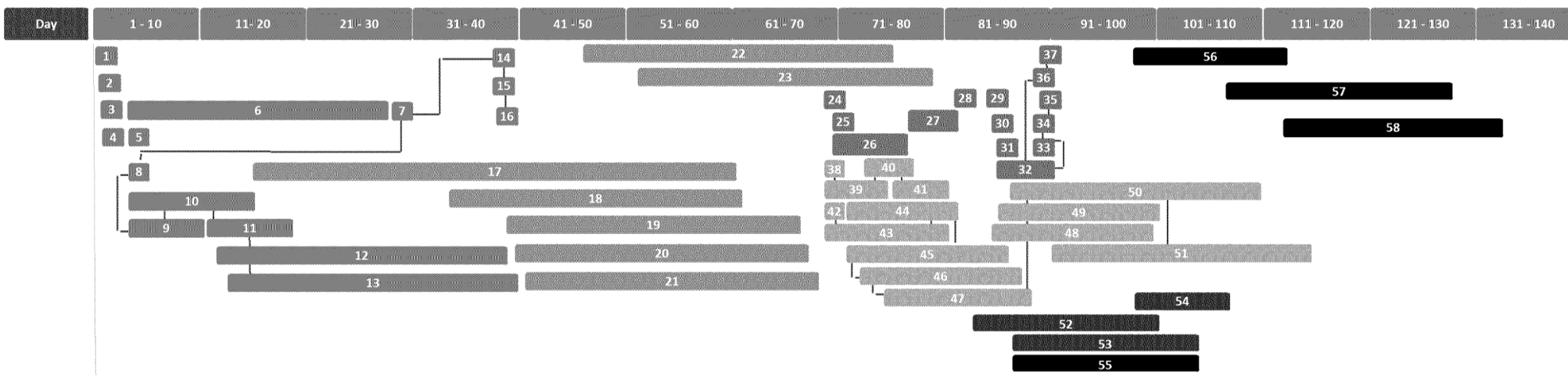
Day 98 - 105

POL to finalise case review summary & file accordingly (retention period???? & where to be stored???)

Review of Process



Mediation Process



1 Application Stage: Agent submits mediation application to Second Sight

- Second Sight record & send applications to POL by COP Monday (including thematic spreadsheet)
- POL confirm (by COP Weds to Andy Holt & Suzie MacGregor)**
 - Is agent still in place
 - Have internal investigations been exhausted
 - Are there any current criminal investigations
- Working Group debate & discuss to confirm:**
 - What cases need further info provided
 - What cases are declined
 - What cases will be investigated internally
 - What cases will go to mediation
- POL confirm to Second Sight (by COP Friday) what response letters need to be sent to applicants:** Comms need to be made aware of this.
More info required:
Second Sight send letter to agent requesting more info.
Case Declined:
Second Sight send letter to agent advising they are not suitable for mediation at this time.
Internal Investigation Required
- If Internal Investigation required Second Sight send letter to agent advising POL will carry out internal investigations (aim to conclude within 8 weeks).
- POL case review manager undertakes a full internal investigation (see investigation stage: mentioned later – only POL actions are applicable) & provides outcome to working group with completed case review doc & supporting evidence.
- Working group review & make decision as to whether case is closed or suitable for mediation. **(Comms need to be made aware of this).**
- If suitable for mediation after internal investigations Second Sight send letter to agent advising acceptance into mediation: instructing to return funding request within a week to POL.
- Agent submits funding request to POL.
- POL request finance purchase order.
- POL send acknowledgement letter to agent: confirming funding purchase order number & advising case needs to be submitted within 4 weeks.
- Agent submits complete case to Second Sight.
- Second Sight share complete case with POL. **(Comms need to be made aware of this).**
- If case is closed after full investigation POL send letter to agent advising outcome of internal investigation & any actions required.
- Day POL liaise with the necessary internal contacts to ensure any applicable internal actions are carried out.
- Second Sight send letter to agent confirming outcome of POL investigations.

3 Mediation Stage (If meeting with SPMR arranged to resolve internally)

- POL appointee to liaise with agent to discuss potential meeting venues & suitable dates
- POL to send letter to agent advising of meeting venue, time, etc. (require guidance on what to expect during meeting, who can be present with them, etc. & how to claim back any relevant costs to them & return slip as confirmation of acceptance)
- Agent to return slip confirming they will be in attendance (& if accompanied, confirm who)
- POL appointee to liaise with the case review manager to fully familiarise themselves with case & request further evidence if applicable
- POL appointee to meet agent & discuss case, resolution, etc.
- POL appointee to recommend resolution or to close the case to WG????????
- WG to agree resolution or close the case
- POL appointee to discuss WG outcome with agent
- Agent to advise POL if they accept outcome or wish to enter mediation
- If agent accepts suggested resolution POL send letter confirming details of resolution & next steps (Comms need to be made aware of this)
- POL liaise with the necessary internal contacts to ensure resolution actions are carried out
- Second Sight send letter to agent confirming outcome of POL meeting & agreed resolution
- If agent rejects resolution or POL close the case POL send letter confirming rejected resolution/closed case & next steps (Comms need to be made aware of this)
- Second Sight send letter to agent confirming rejected resolution/closed case & next steps

2 Internal Investigation Stage

- POL & Second Sight investigate independently gathering/sharing info.
 - POL access relevant systems to gather information & gather required information from key contacts (embedded doc refers)
 - Second Sight request specific information from POL (at the same time as POL gathers info)
 - POL & Second Sight independently review evidence collated to hi-light if any additional research is required
 - Second Sight liaise with agent for further clarification & further evidence (if required by Second Sight or POL)
 - POL & Second Sight clarify if there are any further actions required.
- POL & Second Sight write up case review & obtain input from Legal.
- POL & Second Sight present to Working Group recommending:
 - Mediation Meeting be arranged
 - Meeting with POL & SPMR be arranged to resolve internally????
- Working Group debate & discuss recommendations to confirm if they agree with case review recommendation. **(Comms need to be made aware of this.)**
- Second Sight send letter to agent confirming outcome of case review & next steps e.g. mediation meeting to be arranged or meeting to be arranged with a POL representative????? **If required POL send letter to agent requesting invoice to be submitted for advisor payment.**
- Agent submits advisor payment invoice to POL
- POL process invoice & arrange repayment of advisor cost.

4 Mediation Stage (If meeting with SPMR arranged to resolve internally)

- Second Sight send letter to agent advising acceptance into mediation & instruction to return funding request within a week to POL
- Agent submits funding request to POL.
- POL request finance purchase order
- POL send acknowledgement letter to agent: confirming funding purchase order number & advise someone will be in touch to discuss suitable meeting venues & dates.
- POL passes case to CEDR
- CEDR appoints POL representative / Agent engages with professional advisor
- CEDR shares complete case review with POL representative & agent
 - POL rep requires guidance on possible outcome decisions (compensation policy)
 - Agent requires guidance on what to expect next, what to expect during meeting, who can be present with them, etc. & how to claim back any relevant costs
- POL & agent review case & liaise with case review manager to totally understand case (Agent to liaise with professional advisor if opted for)
- CEDR liaise with POL rep & agent to appoint a mediator & agree timetable
- CEDR confirms in writing to POL rep, agent & mediator details of mediation meeting
- All parties to confirm meeting acceptance
- All parties attend mediation meeting
- If required POL send letter to agent requesting invoice to be submitted for advisor payment
- Agent submits advisor payment invoice to POL
- POL process invoice & arrange repayment of advisor cost

5 Outcome

- Mediator advises all parties of the outcome (is this done on the day of meeting? ???) (Comms need to be made aware of this)
- CEDR confirms in writing to all parties mediation outcome & agreed actions
 - CEDR liaise with necessary internal contacts to ensure mediation actions are carried out
- POL to finalise case review summary & file accordingly (retention period???? & where to be stored???)

6 Review of Process

- CEDR/ POL Appointee ????? to discuss process with POL rep, agent & mediator for feedback & improvement ideas
- CEDR/ POL Appointee????? to cascade any improvements to process owner (Angela?)
- Process owner to update process & communicate changes to necessary POL contacts
- Process owner to advise other POL process/policy holders where improvement is required