

Draft documentation

Non-compliance Procedures – COMPLAINTS-SOS LIMITED

In the event that a team member operates in a non-compliant way, it is critical that their actions are dealt with appropriately. An overview of non-compliance procedures will be presented during the team's initial compliance training and applied if/where necessary during their employment/secondment.

Compliance repercussions will be implemented by the training lead and Managing Director, Christopher Bryans.

Precautionary Measures:

Precautionary Measures as detailed in the staff training manual will act as preventive measures for non-compliance and monitor staff performance on an ongoing basis. These measures include:

- Weekly one-to-one reviews with all individual team members during a 6 week probation period to ensure the importance of compliance and the steps of how to remain compliant are understood.
- If the team members pass the probation period, the frequency of the one-to-one reviews will decrease to one per month with one quarterly group review with all team members.
- Training developer (Lynda Burns) will be required to give Christopher Bryans (training lead and Managing Director) monthly feedback on the performance of the claims administrators who she will manage.

The team ethos and the culture of the firm is to embrace change, commit to training, adhere to the highest standards of compliance and to seek personal and professional development whenever possible.

All team members will be encouraged to be open and communicative with their personal training and development needs and to understand this is a collaborative learning environment and any actions for non-compliance are to be constructive in nature and as a helpful measure.

Procedures for non-compliance:

The severity of the repercussions of non-compliance will reflect the severity of the instance of non-compliance.

<div>Occurrence</div> <div>Severity</div>	First Occurrence	Second Occurrence	Third Occurrence
Mild	One-to-one verbal meeting with verbal warning & identify any re-training needs & training as necessary	One-to-one documented meeting with written warning & identify any re-training needs or issues & appropriate training or actions as necessary	One-to-one observed & documented meeting with final written warning & identify any re-training needs or issues & appropriate training or actions as necessary
Moderate	As for mild	As for mild	As for mild
Severe	One-to-one documented meeting with written warning & identify any re-training needs or issues & appropriate training or actions as necessary	One-to-one observed & documented meeting with final written warning & identify any re-training needs or issues & appropriate training or actions as necessary	Dismissal