

ADR Internal Statement of Compliance Annual and Quarterly Reporting

Reporting period - 1 October – 31 December 2021

Name of ADR Provider – ProMediate

Background:

Type of ADR offered (e.g. mediation, adjudication, etc)	Mediation
Number of employees as ADR officials	1
How are dispute outcomes reached? (e.g. panel decision, individual mediator, etc)	Individual mediator
If outcome is reached by panel decision, please explain who makes up the panel?	
How is the ADR funded?	Through annual subscription from Gambling operators and subsidy from other mediation work

As a competent authority for the gambling sector we approve alternative dispute resolution (ADR) providers that wish to offer services to gambling consumers. Our role as competent authority includes making sure that ADR providers continue to meet the requirements of the ADR Regulations, alongside our role as gambling regulator to make sure that gambling is fair and open. The Gambling Commission expect ADR providers in the gambling industry to meet the requirements of the [ADR Regulations](#) and our [additional standards](#).

Internal statement of compliance

Please demonstrate how your organisation and your ADR process complies with the requirements of the ADR Regulations and the Commission's standards for ADRs in the following areas:

Statement	Response
ADR Services offered by the body Please demonstrate how you meet the requirements of the ADR Regulations Schedule 3, section 1. As part of your answer, explain how you ensure that stakeholders know why the scheme exists, what it does and what to expect from it (Ombudsman Association six principles of good governance, Clarity of Purpose).	We set this out in our initial email or letter to the complainant.

<p>Access to the ADR body Please demonstrate how you meet the requirements of the ADR Regulations Schedule 3, section 2. As part of your answer please explain how you consider the needs of vulnerable consumers (Commission standards, p24), and comply with other legislation such as GDPR.</p>	<p>We are available to speak on the telephone email or communicate in writing with complainants. We do not store customer data beyond 3 months and provide details of our data controller and provide a privacy notice. Our website is fully GDPR compliant.</p>
<p>Expertise Please demonstrate how you meet the requirements of the ADR Regulations Schedule 3, section 3(a). As part of your answer, please document any training or qualifications that your ADR officials undertake, the frequency of this, and whether there are refresher sessions for officials, and any experience in dispute resolution that officials have.</p>	<p>Our mediator, Peter Causton sits as a fee paid judge and is a solicitor and barrister as being a registered mediator with the Civil Mediation Council complying with the requirements for CPD.</p>
<p>Independence Please demonstrate how you meet the requirements of the ADR Regulations Schedule 3, section 3(b), (d), (e), (g) – (h). As part of your answer, please explain how you ensure and evidence the freedom of the office holder from interference in decision making (Ombudsman Association six principles of good governance, Independence), and how you are transparent about the way you are funded (Commission standards, p18).</p>	<p>We provide full details of our funding in our initial contact with the complainants. Our mediator, Peter Causton, is an independent mediator following the European Code of Conduct for mediators.</p>
<p>Impartiality Please demonstrate how you meet the requirements of the ADR Regulations Schedule 3, section 3(c), (e), (f), and section 4. As part of your answer, please explain how you ensure straightforward dealing and completeness, based on honesty, selflessness and objectivity and ensuring high standards of probity and propriety (Ombudsman Association six principles of good governance, Integrity). Please also explain how your conflicts of interest procedure meets the requirements of the ADR Regulations, Schedule 3, section 4. This should include how you ensure that parties to a dispute fully understand the process where a conflict arises, and how you ensure that any ADR officials who work part-time in another capacity are not conflicted by their non-ADR duties (Commission standards p19).</p>	<p>We do not work in any other capacity that creates any conflict of interest. As above Peter Causton follows the European Code of Conduct for Mediators. He is also a fee paid district judge.</p>

<p>Transparency The ADR Regulations require you to publish information on your website (ADR Regulations Schedule 3, section 5), and we will check your website for this information. We also expect you to publish performance data and specific information on your methods and timescales as part of our standards. Explain how in general you ensure openness and transparency in your scheme in order that stakeholders can have confidence in the decision making and management processes of the scheme (Ombudsman Association six principles of good governance, Openness and transparency), and how all members of the scheme are seen to be accountable and responsible for their decisions and actions (Ombudsman Association six principles of good governance, Accountability).</p>	<p>The required information is published on the website. We are not making decisions but mediating the dispute and make it clear in the initial communications that we are independent and impartial. We will publish these quarterly reports in future so that people can obtain access to details of our performance.</p>
<p>Effectiveness Please demonstrate how you meet the requirements of the ADR Regulations Schedule 3, section 6. As part of your answer, please explain how you ensure that the scheme achieves its outcomes efficiently and represents good value for money (Ombudsman Association six principles of good governance, Effectiveness). You should also demonstrate how you meet the decision/outcome quality standards (Commission standards, p19), and the process you have put in place for an audit/review of dispute outcomes, service standards and service quality (Commission standards, p18).</p>	<p>We deal with disputes within 28 days of notification and do not charge a large amount for each dispute dealt with. We do not undertake a large number of cases and are able to review our performance on a weekly basis, checking to ensure that we respond quickly and effectively in dealing with cases.</p>
<p>Fairness Please demonstrate how you meet the requirements of the ADR Regulations Schedule 3, sections 7-10. As part of your answer, explain how you ensure that your dispute process takes account of the balance of power within a dispute, particularly around sharing evidence with parties to a dispute (Commission standards p18).</p>	<p>We share any evidence we receive from the gambling operator even though this is not normal procedure in a mediation process. This redressed the balance between the parties.</p>
<p>Legality Please demonstrate how your process meets the requirements of the ADR Regulations, Schedule 3, section 11.</p>	<p>We do not impose a decision. Ours is a consensual process.</p>

General Please tell us about any changes you have made to the delivery of your dispute resolution process since your last report. What has been the impact of the changes? If you would like to share any additional information or comments (beyond that required by your ADR Regulations-specified annual report) then please comment below.	No changes
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Quarterly/Annual reports

Quarterly reporting periods end 31 December, 31 March, 30 June and 30 September

Annual reporting periods end 30 September.

Please submit your reports to your nominated Licensing Account Manager within 10 working days of the end of the reporting period.

Annual report information must be displayed on your website by 1 November each year, as per the ADR Regulations.

ADR provider quarterly/ annual reporting

ADR provider	ProMediate (UK) Limited
Reporting Period	1 October 2021 – 31 December 2021
Quarterly return only*	

*if Nil Return, then please submit your quarterly return now.

a) No of domestic & cross border disputes received		Domestic	0
		Cross Border	0
b) Numbers of each type of complaint <i>Please list the actual number of each type of complaint you received.</i>		total as above 0	
c) Total number of disputes the provider refused to deal with <i>% share of the grounds set out in para 13 Schedule 3 of the ADR Regulations</i>	0	Consumer not contacted trader first	0 %
		Dispute is frivolous/vexatious	0%
		Dispute is being/has been considered by another ADR provider/court	0 %
		Value is outside the provider's monetary thresholds	0 %
		complaint not submitted within time period	0 %

		dealing with the dispute would impair the effective operation of the body	0%
		not the relevant gambling sector	0 %
		GC regulatory matter only (not a dispute)	0%
		Discontinued for non-operational reasons (e.g., party withdrew)	0%
d) % of ADR procedures discontinued for operations reasons	0 %	reasons for discontinuation if known	N/a
e) Average time taken to resolve disputes in days		Domestic	N/A
		Cross Border	0
f) no of disputes completed in period			0
g) % completed disputes ruled in operator's favour			N/a %
h) % completed disputes ruled in favour of the consumer			N/a %
i) % completed disputes settled by the operator during the ADR process			N/a %
j) average length of time taken to receive complaint file from operator (days)			N/a

Items (f) to (j) are part of the Commission's additional standards and not a requirement of the ADR Regulations.

For annual report only - note that all fields relating to the annual report must be displayed on your website by 1 November each year.

k) a description of any systematic or significant problems that occur frequently and lead to disputes between consumers and traders of which the ADR entity has become aware due to its operations as an ADR entity;	N/a
l) any recommendations the ADR entity may have as to how the problems referred to in paragraph (c) could be avoided or resolved in future, in order to raise traders' standards and to facilitate the exchange of information and best practices	N/a
m) the rate of compliance, if known, with the outcomes of the alternative dispute resolution procedures;	N/a

n) the co-operation, if any, of the ADR entity within any network of ADR entities which facilitates the resolution of cross-border disputes.	N/A
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