

# AMANDA MEDIATION RULES & PROCEDURES

## 1. Agreement of Parties

Whenever, by stipulation or in their contract, the parties have provided for mediation or conciliation, the parties have provided for mediation or conciliation of existing or future disputes under the auspices of AMANDA or under these procedures, the parties and their representatives, unless agreed otherwise in writing, shall be deemed to have made these procedures, as amended and in effect as of the date of filing of a request for mediation, a part of their agreement and designate AMANDA as the administrator of their mediation.

The parties by mutual agreement may vary any part of these procedures including, but not limited to, agreeing to conduct the mediation via telephone or other electronic or technical means.

## 2. Initiation of Mediation

Any party or parties to a dispute may initiate mediation under AMANDA's auspices by making a Request for Mediation to AMANDA via telephone, email, regular mail or fax.

The party initiating the mediation shall simultaneously notify the other party or parties of the request. The initiating party shall provide the following information to AMANDA and the other party or parties applicable:

- a. A copy of the mediation provision of the parties' contract or the parties' stipulation to mediate.
- b. The names, regular mail addresses, email addresses (if available), and telephone numbers of all parties to the dispute and representatives, if any, in the mediation.
- c. A brief statement of the nature of the dispute and the relief requested.
- d. Any specific qualifications the mediator should possess.

Where there is no preexisting stipulation or contract by which the parties have provided for mediation of existing or future disputes under the auspices of AMANDA, a party may request AMANDA to invite another party to participate in "mediation by voluntary submission". Upon receipt of such a request, AMANDA will contact the other party or parties involved in the dispute and attempt to obtain a submission to mediation.

## 3. Fixing of Locale (the city, county, state, territory and, if applicable, country of the mediation)

- a. When the parties' agreement to mediate is silent with respect to locale and the parties are unable to agree upon a locale, AMANDA shall have the authority to consider the parties' arguments and determine the locale. Typically, AMANDA will designate all mediations to take place at the offices of Defendants / Respondents.
- b. When the parties' agreement to mediate requires a specific locale, absent the parties' agreement to change it, the locale shall be that specified in the agreement to mediate.
- c. If the reference to a locale in the agreement to mediate is ambiguous, AMANDA shall have the authority to consider the parties' arguments and determine the locale. Typically, AMANDA will designate all mediations to take place at the offices of Defendants/Respondents.

## 4. Representation

Any party may participate without representation (pro se), or by any representative of that party's choosing, or by counsel, unless such choice is prohibited by applicable law. A party intending to have

## AMANDA MEDIATION RULES & PROCEDURES

representation shall notify the other party and AMANDA of the name, telephone number and address, and email address if available of the representative.

### 5. Appointment of the Mediator

Parties may search the online profiles of AMANDA Panel or Mediators at [www.amandaadr.com](http://www.amandaadr.com) in an effort to agree on a mediator. If the parties have not agreed to the appointment of a mediator and have not provided any other method of appointment, the mediator shall be appointed in the following manner.

- a. Upon receipt of a request for mediation, AMANDA will send to each party a list of mediators from AMANDA's Panel of Mediators. The parties are encouraged to agree to a mediator from the submitted list and to advise AMANDA of their agreement.
- b. If the parties are unable to agree upon a mediator, each party shall strike unacceptable names from the list, number the remaining names in order of preference, and return the list within the time specified, all mediators who have been mutually approved by the parties, and in accordance with the designated order of mutual preference, AMANDA shall invite a mediator to serve.
- c. If the parties fail to agree on any of the mediators listed, or if acceptable mediators are unable to serve, or if for any other reason the appointment cannot be made from the submitted list, AMANDA shall have the authority to make the appointment from among other members of the Panel of Mediators without the submission of additional lists.

### 6. Mediator's Impartiality and Duty to Disclose

- a. AMANDA mediators are required to (i) decline a mediation if the mediator cannot conduct it in an impartial manner, and (ii) disclose, as soon as practicable, all actual and potential conflicts of interest that are reasonably known to the mediator and could reasonably be seen as raising a question about the mediator's impartiality.
- b. Prior to accepting an appointment, AMANDA mediators are required to make a reasonable inquiry to determine whether there are any facts that a reasonable individual would consider likely to create a potential or actual conflict of interest for the mediator. AMANDA mediators are required to disclose any circumstance likely to create a presumption of bias or prevent a resolution of the parties' dispute within the time-frame desired by the parties. Upon receipt of such disclosures to the parties for their comments.
- c. The parties may, upon receiving disclosure of actual or potential conflicts of interest of the mediator, waive such conflicts and proceed with the mediation. In the event that a party disagrees as to whether the mediator shall serve, or in the event that the mediator's conflict of interest might reasonably be viewed as undermining the integrity of the mediation, the mediator shall be replaced.

### 7. Vacancies

If any mediator shall become unwilling or unable to serve, AMANDA will appoint another mediator, unless the parties agree otherwise with section 5.

### 8. Duties and Responsibilities of the Mediator

## AMANDA MEDIATION RULES & PROCEDURES

- a. The mediator shall conduct the mediation based on the principle of party self-determination. Self-determination is the act of coming to a voluntary, uncoerced decision in which each party makes free and informed choices as to process and outcome.
- b. The mediator is authorized to conduct separate or *ex parte* meetings and other communications with the parties and/or their representatives, before, during, and after any scheduled mediation conference. Such communications may be conducted via telephone, in writing, via email, online, in person or otherwise.
- c. The parties are encouraged to exchange all documents pertinent to the relief requested. The mediator may request the exchange of memorandum on issues, including the underlying interests and the history of the parties' negotiations. Information that a party wishes to keep confidential may be sent to the mediator, as necessary, in a separate communication with the mediator.
- d. The mediator does not have the authority to impose a settlement on the parties but will attempt to help them reach a satisfactory resolution of their dispute. Subject to the discretion of the mediator, the mediator may make oral or written recommendations for settlement to a party privately or, if the parties agree, to all parties jointly.
- e. In the event a complete settlement of all or some issues in dispute is not achieved with the scheduled mediation session(s), the mediator may continue to communicate with the parties, for a period of time, in an ongoing effort to facilitate a complete settlement.
- f. The mediator shall set the date, time, and place for each session of the mediation conference. The parties shall respond to requests for conference dates in a timely manner, be cooperative in scheduling the earliest practicable date, and adhere to the established conference schedule. AMANDA shall provide notice of the conference to the parties in advance of the conference date, when timing permits.

### 9. Responsibilities of the Parties

The parties shall ensure that appropriate representatives of each party, having authority to consummate a settlement, attend the mediation conference. Prior to and during the scheduled mediation conference session(s) the parties and their representatives shall, as appropriate to each party's circumstances, exercise their best efforts to prepare for and engage in a meaningful and productive mediation.

### 10. Privacy

Mediation sessions and related mediation communications are private proceedings. The parties and their representatives may attend mediation sessions. Other persons may attend only with the permission of the parties and with the consent of the mediator.

### 11. Confidentiality

Subject to applicable law or the parties' agreement, confidential information disclosed to a mediator by the parties or by other participants (witnesses) in the course of the mediation shall not be divulged by the mediator. The mediator shall maintain the confidentiality of all information obtained in the mediation, and all records, reports, or other documents received by a mediator while serving in that capacity shall be confidential.

The mediator shall not be compelled to divulge such records or to testify in regard to the mediation in any adversary proceeding or judicial forum.

## AMANDA MEDIATION RULES & PROCEDURES

The parties shall maintain the confidentiality of the mediation and shall not rely on, or introduce as evidence in any arbitral, judicial, or other proceeding the following, unless agreed to by the parties or required by applicable law:

- a. Views expressed or suggestions made by a party or other participant with respect to a possible settlement of the dispute;
- b. Admissions made by a party or other participant in the course of the mediation proceedings;
- c. Proposals made or views expressed by the mediator; or
- d. The fact that a party had or had not indicated willingness to accept a proposal for settlement made by the mediator.

### 12. No Stenographic Record

There shall be no stenographic record of the mediation process.

### 13. Termination of Mediation

The mediation shall be terminated:

- a. By the execution of a settlement agreement by the parties; or
- b. By a written or verbal declaration of the mediator to the effect that further efforts at mediation would not contribute to a resolution of the parties' dispute; or
- c. By a written or verbal declaration of all parties to the effect that the mediation proceedings are terminated; or
- d. When there has been no communication between the mediator and any party or party's representative for 21 days following the conclusion of the mediation conference.

### 14. Exclusion of Liability

Neither AMANDA nor any mediator is a necessary party in judicial proceedings relating to the mediation. Neither AMANDA nor any mediator shall be liable to any party for any error, act or omission in connection with any mediation conducted under these procedures. Parties to a mediation under these procedures may not call the mediator, AMANDA or AMANDA employees as a witness in litigation or any other proceeding relating to the mediation. The mediator, AMANDA and AMANDA employees are not competent to testify as witnesses in any such proceeding.

### 15. Interpretation and Application of Procedures

The mediator shall interpret and apply these procedures insofar as they relate to the mediator's duties and responsibilities. All other procedures shall be interpreted and applied by AMANDA.

### 16. Deposits

Unless otherwise directed by the mediator, AMANDA will require the parties to deposit in advance of the mediation conference such sums of money as it, in consultation with the mediator, deems necessary to cover the costs and expenses of the mediation and shall render an accounting to the parties and return any unexpended balance at the conclusion of the mediation.

### 17. Expenses

## AMANDA MEDIATION RULES & PROCEDURES

All expenses of the mediation, including required traveling and other expenses or charges of the mediator, shall be borne by the company unless they agree otherwise. The expenses of participants for either side shall be paid by the party requesting the attendance of such participants.

### 18. Cost of the Mediation

Please see the Mediator's General Fee Schedule.