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Pursuant to Rule 10 of the Minnesota Rules of No-Fault Arbitration Procedure, arbitrators must recertify on an annual basis. Failure to recertify in a timely manner will result in removal from the panel. **Please complete each section.**

SECTION I: QUALIFICATION TYPE

I seek annual recertification under the following Rule 10 provision: (choose only one)

Rule 10(a): Attorney Representing Clients in Auto Insurance Claims

I am a licensed attorney in the State of Minnesota, in good standing, and actively representing clients. At least one-third of my practice is in auto insurance claims.

___ % of my practice involves motor vehicle accident cases. Of that,

___ % is handling plaintiff's matters.

___ % is handling claims for defendants, insurers or subrogors.

The remainder of my practice involves:

Rule 10(a): Attorney Not Representing Clients

I am a licensed attorney in the State of Minnesota or a retired attorney or judge in good standing. I am not actively representing clients, but currently maintain an active ADR practice. I certify that at least one-third of my ADR practice involves motor vehicle claims or no-fault matters.

___ % of my ADR practice involves motor vehicle accident cases or no-fault matters.

The remainder of my ADR practice involves:

Rule 10(c): Change of Practice or Retired Attorney or Judge

I have been certified and met the requirements of subdivision (a) for the past five years, but due to retirement or a change in my practice, I can no longer certify under Rule 10(a). I apply for continued certification under Rule 10(c) and certify that I meet all requirements contained therein.

*Pursuant to Rule 10(c), you may recertify under this section for up to five years from the date of retirement or practice change.

Date of Retirement: _____ Date of Practice Change: _____
mm/dd/yy mm/dd/yy

My current practice involves:

SECTION II: DISCIPLINE AND CLE REQUIREMENTS

To certify, please check the following boxes:

___ I certify that I am not subject to any current discipline of any professional license and/or activities.

___ I've completed at least three CLE hours on no-fault issues during the last calendar year.



SECTION III: ARBITRATOR INFORMATION

The AAA provides a copy of arbitrator resumes with each strike list. Since parties rely on this information, it is important that your resume is up-to-date and accurate. Therefore, during the annual recertification process, arbitrators will now be required to review and certify that their information is accurate.

Please complete the below to certify.

____ This will confirm that I have reviewed my resume on file with the AAA and as of _____ certify that it is accurate. (Date)
(Date)

How to Access Your AAA Resume:

You may view and update your resume through AAA Panelist eCenter®. To access your account, visit the AAA's website at www.adr.org and click on "My Account". You will be required to enter your credentials. If you cannot recall your credentials, you may utilize the "Forgot Username and Forgot Password" function located on the login screen. For more detail instruction on how to utilize this function, you may visit the Minnesota No-Fault website at www.adr.org/mnnofault.

Once you have logged into your online account, navigate to the red "Panelist eCenter" button located on the right-hand side of the screen. This will direct you to your Panelist eCenter account. On the top dashboard, click on "My Resume".

For more detailed instructions on how to update your resume, please refer to the attached "How To Update Your Resume" guide.

If you have any questions, please contact our office at 612-332-6545.

SECTION IV: TRAVELING ARBITRATOR PANEL (OPTIONAL)

A Traveling Arbitrator is an arbitrator who volunteers to serve on cases in areas outside of where the arbitrator may live or work. If you are not already a Traveling Arbitrator and are interested in serving on the Traveling Panel, please specify below the counties in which you are willing to serve.

By my electronic signature below, I certify that I meet the requirements of Minnesota No-Fault Rule 10 and have received and reviewed the Standards of Conduct for No-Fault Arbitrators. Once completed, you may return the form by email to KristaPeach@adr.org, by fax to 612-342-2334 or by US Mail to US Bank Plaza, 200 South Sixth Street, Suite 700, Minneapolis MN 55402.

Printed Name:

Signature: /s/

Date:



**MINNESOTA RULES OF NO-FAULT ARBITRATION PROCEDURE
STANDARDS OF CONDUCT
MINNESOTA NO-FAULT ARBITRATORS**

APPENDIX

Preamble

No-Fault Arbitrators, like judges, have the power to decide cases. Therefore, arbitrators undertake serious responsibilities to the public, as well as to the parties. In order for the system to succeed, the public must have the utmost confidence in the arbitration process and the arbitrators who serve on the No-Fault Panel. To this end, these *Standards of Conduct for Minnesota No-Fault Arbitrators* have been established by the No-Fault Standing Committee. The purpose of these Standards is to provide guidance in order to promote a fair, neutral, and impartial panel of arbitrators.

I. Integrity and Fairness

An arbitrator shall at all times act in a manner that promotes public confidence in the integrity and impartiality of the arbitration process.

- A. An arbitrator has a responsibility not only to the parties but also to the process of arbitration itself, and must observe high standards of conduct so that the integrity and fairness of the process will be preserved. Accordingly, an arbitrator should recognize a responsibility to the public, to the parties whose rights will be decided, and to all other participants in the proceedings.
- B. Arbitrators shall conduct themselves in a way that is fair to all parties and should not be swayed by outside pressure, public clamor, fear of criticism or self-interest. Arbitrators shall avoid conduct and statements which give the appearance of partiality.
- C. An arbitrator shall conduct the arbitration process in a manner which advances the fair and efficient resolution of the matters submitted for decision. An arbitrator shall make all reasonable efforts to prevent delaying tactics, harassment of parties or other participants, or other abuse or disruption of the arbitration process.
- D. An arbitrator who withdraws prior the completion of the arbitration, whether upon the arbitrator's initiative or upon the request of one or more of the parties, shall take reasonable steps to protect the interests of the parties in the arbitration, including return or destruction of evidentiary materials and the protection of confidentiality.

II. Disclosures

An arbitrator shall make a full and complete disclosure of any interests or relationships pursuant to Rule 10.

- A. An arbitrator shall make all disclosures as required under Rule 10.
- B. The obligation to disclose interests or relationships described in paragraph A is a continuing duty which requires the arbitrator to disclose, as soon as practicable, at any stage of the arbitration, any such interests or relationships which may arise, or which are called to the arbitrator's attention, or discovered.
- C. Any doubts as to whether or not disclosure should be made shall be resolved in favor of disclosure.



III. Communications

An arbitrator shall avoid impropriety or even the appearance of impropriety in communicating with parties.

- A. An arbitrator shall not discuss a proceeding with any party or attorney in the absence of any other party or attorney.
- B. An arbitrator shall not have any direct communication other than what is prescribed in Rule 21.
- C. If a party or attorney attempts to communicate directly with the arbitrator, the arbitrator shall notify the arbitration organization.
- D. When an arbitrator communicates in writing with one party, the arbitrator shall at the same time send a copy of the communication to every other party.

IV. Hearing Proceedings

An arbitrator shall conduct the proceedings fairly and diligently.

- A. An arbitrator shall conduct the proceedings in an even-handed manner. The arbitrator should be patient and courteous to the parties, their representatives, and the witnesses and should encourage similar conduct by all participants.
- B. The arbitrator shall afford to all parties the right to be heard. The arbitrator shall allow each party a fair opportunity to present evidence and arguments.
- C. If a party fails to appear after due notice, the arbitrator may proceed with the arbitration when authorized to do so, but only after receiving assurance that appropriate notice has been given to the absent party. Arbitrators must comply with Rule 22.
- D. An arbitrator shall not exert pressure on any party to settle or to utilize other dispute resolution processes. An arbitrator shall not be present or otherwise participate in settlement discussions or act as a mediator unless requested to do so, in writing, by all parties and their representatives.

V. Decisions, Orders and Awards

An arbitrator shall make decisions in a just, independent and deliberate manner.

- A. The arbitrator shall, after careful deliberation, decide only those issues submitted for determination.
- B. An arbitrator shall decide all matters justly, exercising independent judgement, and shall not permit outside pressure or other considerations to affect the decision.
- C. An arbitrator shall not delegate the duty to decide to any other person.
- D. An arbitrator shall make a determination based on the evidence presented. An award must be supported by the evidence.



VI. Trust and Confidentiality

An arbitrator shall be faithful to the relationship of trust and confidentiality inherent in that office.

- A. An arbitrator is in a relationship of trust to the parties and shall not, at any time, use confidential information acquired during the arbitration proceeding to gain personal advantage or advantage for others, or to affect adversely the interest of another.
- B. The arbitrator shall keep confidential all matters relating to the arbitration proceedings and decision.
- C. It is improper, at any time, for an arbitrator to inform anyone of any decision in advance of the time it is given to all parties. After an arbitration award has been made, it is improper for an arbitrator to assist, in any way, in proceedings to enforce or challenge the award.

VII. Time and Availability

An arbitrator shall devote the time and attention to each case in order to promote efficiency.

- A. An arbitrator shall promptly schedule and be prepared for hearings.
- B. An arbitrator shall not delay the process and shall not postpone a hearing, except for good cause.
- C. An arbitrator shall promptly file decisions of any pending issues and shall issue an award within 30 calendar days of the closure of the record.

VIII. Arbitrator Qualifications

An arbitrator must continue to meet the qualifications under Rule 10 in order to serve on the Minnesota No-Fault Panel.

- A. An arbitrator shall be faithful to the law and shall maintain professional competence in it.
- B. An arbitrator shall file a timely and accurate recertification form on an annual basis.
- C. An arbitrator shall provide evidence of qualifications upon request by the arbitration organization, No-Fault Standing Committee or Minnesota Supreme Court.

IX. Enforcement Procedures

Preamble

No-Fault Arbitrators are given broad discretion to make decisions and oversee the No-Fault arbitration process. Therefore, in order to ensure the protection of the public, an arbitrator who violates the above Standards is subject to the procedures outlined below.

Application: Inclusion on the No-Fault Panel of Arbitrators is a conditional privilege, revocable for cause.

Scope: These procedures apply to complaints against any No-Fault Arbitrator who has been approved to serve on the No-Fault Panel by the Minnesota Supreme Court, as well as those conditionally approved by the No-Fault Standing Committee.



A. Complaint

1. A complaint must be in writing, signed by the complainant and filed with the arbitration organization. The complaint shall identify the arbitrator and the basis for the complaint.
2. Alternatively, if the arbitration organization becomes aware of a violation of these Standards of Conduct and is unable to remedy such violation, the organization shall notify the No-Fault Standing Committee as outlined in these procedures.
3. The arbitration organization shall provide a copy of the complaint and supporting documents to the arbitrator.
4. The arbitration organization shall notify the No-Fault Standing Committee, which will assign an investigative member or members to investigate the allegation(s).

B. Investigation

1. The assigned committee member(s) will undertake such review, investigation, and action as it deems appropriate. In all such cases, the member(s) will contact the arbitrator and complainant to review the allegations and may request additional notes, records, or recollection of the arbitration process. It shall not be considered a violation of these Standards for the arbitrator to make such disclosures as part of the investigation. The member(s) may also request the arbitration organization disclose any records pertinent to the investigation.
2. Once the investigation has been completed, the member(s) will draft a written memorandum, which shall include findings, conclusions and recommendations. This memorandum will be provided to the full Committee at the next quarterly meeting.
3. If the recommendation is for removal, suspension or a public reprimand, the arbitrator shall be notified, and shall have the right to appear before the No-Fault Standing Committee prior to deliberations on the complaint.
4. The No-Fault Standing Committee shall review the memorandum and determine whether the allegation(s) constitute a violation of the Standards of Conduct, and if so, recommend what sanction(s) would be appropriate. The Committee shall select a member to draft a Notice of the Committee's decision. The decision must include the findings, conclusions, and sanctions, if any.
5. The arbitration organization shall circulate the Notice to the arbitrator and complainant.

C. Sanctions

The No-Fault Standing Committee may impose sanctions, including, but not limited to:

1. Removal from the Panel with set conditions for reinstatement, if appropriate. Should the Committee determine that removal is appropriate, such recommendation will be made to the Minnesota Supreme Court.
2. Suspension for a period of time;
3. The issuance of a public reprimand. The reprimand will be posted on the arbitration organization's website, which shall include publishing the arbitrator's name, a summary of the violation, and any sanctions imposed. The public reprimand may also be published elsewhere;
4. The issuance of a private reprimand;



5. The provision of “Best Practices” Information;
6. The imposition of retraining requirements;
7. Supervision of the arbitrator’s service for a period of time by a designee of the No-Fault Standing Committee; and
8. The notification of any professional licensing authority with which the arbitrator is affiliated, of the complaint and its disposition.

D. Request for Appearance

If the recommendation by the investigative member(s) is to remove, suspend or issue a public reprimand, an arbitrator may make a written request to the arbitration organization to appear before the No-Fault Standing Committee. After the arbitrator has been notified of the recommendation, the arbitrator has 15 calendar days from the date of the notice to request an appearance.

E. Confidentiality

All files, records, and proceedings of the No-Fault Standing Committee which relate to or arise out of any complaint shall be confidential, except:

1. As between Committee members and the arbitration organization;
2. As otherwise required by law by rule or statute;

If the Committee designates a sanction as public, the sanction and the grounds for the sanction shall be of public record, but the Committee’s file shall remain confidential. Confidential documents, memoranda, and communications shall include the deliberations, mental processes, and communications of the Committee and arbitration organization.

F. Immunity

The members of the No-Fault Standing Committee and the arbitration organization shall be immune from suit for any conduct in the course of their official duties.