

CLEVELAND FEDERAL EXECUTIVE BOARD



INTERAGENCY MEDIATION GROUP HANDBOOK

August 2011

1240 East Ninth Street, Room 355
Cleveland, Ohio 44199
IMG Hotline: (216) 433-9460
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Cleveland Federal Executive Board **Interagency Mediation Group (IMG) Handbook**

Introduction

The Interagency Mediation Group (IMG) is a program of the Cleveland Federal Executive Board (FEB). It provides mediation as an alternative to resolve workplace disputes within Federal agencies. The combined resources of the Federal community will be shared to provide interagency mediators. Oversight for the IMG lies with the Alternative Dispute Resolution (ADR) Committee of the FEB. The goal of the program is to resolve workplace disputes at the earliest possible date. Early resolution will result in improved communication within the workforce, a more productive environment, and reduced cost and time in resolving disputes.

A number of federal laws and regulations promote the use of Alternative Dispute Resolution (ADR). In November 1990, the Administrative Dispute Resolution Act authorized and encouraged each Federal agency to develop a policy for implementing alternative means of resolving matters in their respective administrative programs. Since that time, the President, Congress, and the federal courts have emphasized the value and importance of ADR through executive orders, laws, resolutions and rules.

In 1999, the EEOC revised regulations that govern equal employment opportunity programs for federal agencies. The revisions to 29 C.F.R. Part 1614 include a provision that requires each federal agency to establish or make available an ADR program under the federal EEO complaint process. The ADR process must be available during both the pre-complaint and the formal EEO complaint processes.

What is mediation?

Mediation is the most popular form of ADR currently being used in the federal sector, and is considered an effective means to resolve disagreements and avoid litigation. It is an informal, confidential process that uses trained neutrals to help people resolve disputes in a way that is acceptable to both sides.

Why request mediation?

People use mediation because it gives them a chance to talk candidly in a confidential environment. Mediation lets the parties involved control the dispute and resolve problems themselves rather than having a judge or someone decide it for them. It is fast and economical, unlike adversarial processes. Even if the parties do not resolve the dispute, mediation frequently will simplify the issues and enhance communications.

Mediation is considered to be less expensive than either arbitration or litigation, and avoids adverse precedent and the difficulty of overturning an unfavorable decision by an arbitrator or court.

What is the role of the mediator?

Mediators are neutral third parties who have no stake in the outcome of a dispute. They provide a safe environment for parties to talk about issues and underlying interests, and negotiate solutions that are mutually satisfactory. Mediators will not reveal anything from private discussions which one side does not want revealed to the other.

Because mediation is informal, the rules of evidence do not apply and testimony is not taken. The Mediator does not decide who is right or wrong and has no authority to impose a settlement on the parties. Instead, the Mediator helps the parties to jointly explore and reconcile their differences, sometimes with both parties together, and sometimes with each side privately.

Mediators in the IMG are federal employees, trained in mediation skills by the Federal Mediation and Conciliation Service. They have experience with labor and employment law, and are on loan to mediate disputes at other federal agencies.

What kinds of disputes can be mediated?

Most workplace disputes are appropriate for mediation including disputes involving internal EEO complaints, agency grievances, and informal disagreements in the workplace.

Are there any issues that are not appropriate for mediation?

Mediation is not appropriate for questions of law, precedent-setting cases, cases that involve significant questions of Government policy, disputes that affect individuals or organizations who cannot be part of the mediation, and cases of serious employee misconduct or criminal activity.

Core Principles

The Federal ADR Council has established core principles for non-binding workplace ADR programs to which the IMG will adhere. They are:

Self-determination:

Self-determination is a fundamental principle of mediation. It requires the mediation process to rely upon the ability of the parties to reach a voluntary, uncoerced agreement. Any party may withdraw from mediation at any time.

Confidentiality:

Mediators will not discuss confidential communications, comment on the merits of the case outside the ADR process, or make recommendations about the case. Agency staff or management who are not parties to the process should not ask neutrals to reveal confidential communications.

Neutrality:

Mediators should fully disclose any conflicts of interest, should not have any stake in the outcome of the dispute, and should not be involved in the administrative processing or litigation of the dispute.

Preservation of rights:

Participants in the mediation process should retain their right to have their claim adjudicated if a mutually acceptable resolution is not achieved.

Voluntariness:

Employees' participation in the process should be voluntary. In order for participant to make an informed choice, they should be given appropriate information and guidance to decide whether to use the mediation process and how to use it.

Representation:

All parties to a dispute in a mediation process should have a right to be accompanied by a representative of their choice, in accordance with relevant collective bargaining agreements, statutes, and regulations.

Ethics:

Mediators will follow the professional guidelines applicable to professional mediators.

Responsibilities of the ADR Committee

The ADR Committee is the governing body for the IMG program. Members will operate in accordance with applicable regulations and by-laws of the FEB. Responsibilities of the ADR Committee include:

- Review and supervision of the roster of mediators
- Case intake
- Data collection and analysis
- Outreach (making sure people understand the program is available)
- Systems analysis (continually improving the structure of the Program)
- Mediator education/training
- Quality assurance reviews

Agency Participation

To enter into the IMG program, each participating agency will submit a letter, signed by the local agency head, to the Cleveland Federal Executive Board ADR Committee. The letter must contain the following information:

- the name and office phone number of the Agency Liaison who is authorized to request an IMG mediation;
- any type of case the agency wishes to exclude from the program;
- specific forms that the agency wishes to use that differ from those included in this Handbook;
- any other specific requirements of the agency; and
- an explicit statement that no member of the agency will retaliate against any other member of the agency because of their decision to participate in or withdraw from an IMG mediation.

It is the responsibility of each agency to promptly notify the ADR Committee of any change to their Agency Liaison and any requested agency-specific items.

Agency Liaison

The Agency Liaison manages the distribution of information about the availability of mediation within the agency and how the IMG can be integrated with other ADR processes the agency may have. **Appendix 1** of this Handbook sets forth the Agency Liaison case intake procedures.

Within an agency, the parties (employees and/or managers) may individually contact the Agency Liaison according to guidelines created by each agency. The Agency Liaison contacts the other party. If both parties wish to mediate their dispute, the agency determines whether to utilize the IMG. If so, the Agency Liaison will ascertain three dates during which the parties and their representatives can attend a mediation. The Agency Liaison then contacts the **IMG Hotline (216) 433-9460**, indicating the three possible dates for the mediation. At that time, the Agency Liaison also forwards the Agency Liaison Intake Form (**Appendix 2**) to the IMG Coordinator at the FEB FAX at (216) 433-9463. It is the responsibility of the Agency Liaison to ensure that any forms required by the Agency are completed in advance or are made available for use the day of the mediation, as needed.

Referral for Mediation

The IMG Coordinator will assign one or two mediators who are cleared for any conflicts of interest. Generally, the IMG Coordinator will pick primary mediators in a rotation, except where there are special requirements, such as geographical considerations, conflicts of interest, or expertise. Each mediator is responsible to secure permission from his/her agency before accepting mediation. The IMG Coordinator case administration procedures are located in **Appendix 3** of this Handbook.

The Mediation

After accepting the referral from the IMG Coordinator, the mediators will contact the Agency Liaison and the employee to arrange the time and place for the mediation.

The mediation should generally take place no later than 45 days from the date the mediator is assigned. The mediation may be held at a neutral conference room (in the Federal Building or at the mediator's work site) or at a neutral site offered by the Agency Liaison. Any location selected should ensure the confidentiality of the process. Any travel expenses incurred by the mediator will be paid by the agency utilizing the service. Also, the agency will be responsible for providing reasonable accommodations needed by any persons with disabilities participating in the mediation.

In order to make effective use of the mediation, the agency should send the person having signatory authority (usually the person who makes final decisions about settlement).

At the mediation, the parties will sign the Agreement to Mediate (**Appendix 4**) and the Confidentiality Agreement (**Appendix 5**). If an agreement is reached, the parties will also sign a settlement agreement at the mediation. A sample settlement agreement is attached at (**Appendix 6**). The Agencies may have their own settlement or withdrawal forms to use at the mediation. The matter may also be considered resolved in mediation if the complainant signs a withdrawal form or withdrawal agreement. Typically, a settlement agreement specifies the terms to which the parties have agreed, but a withdrawal form simply indicates that the complainant no longer wishes to pursue the matter.

Concluding the Mediation

The mediators are responsible for ensuring that the parties receive a mediation evaluation form, called a Participant Survey (**Appendix 7** is for the employee and **Appendix 8** is for the Agency). The Participant Survey is to be filled out by the parties to the mediation and returned to the Cleveland Federal Executive Board ADR Committee in a sealed envelope. It is preferable that the parties return the surveys in a sealed envelope to the mediator to enclose with material being returned, but they may, alternatively, complete the surveys later and return them separately. The mediator will also complete the Mediator Feedback Form (**Appendix 9**) and return it to the ADR Committee in care of the Cleveland FEB.

A mediator checklist which highlights these steps is attached in **Appendix 10**.

Follow up and Data Collection

The ADR Committee is responsible for tracking the success of the program.

Evaluations

Evaluations are an important part of the program. They give important information about the system and how it is functioning.

They can be an important educational tool for the mediators. And, finally, completion of a Participant Survey can be an important element in the closure of the mediation, giving parties a chance to reflect on their experience.

Who to Contact

For questions or to refer a case, you may contact:

IMG Hotline: (216) 433-9460

Or

Michael Goin, Executive Director

(216) 433-9460

(216) 433-9463 (FAX)

Appendices:

- Appendix 1 – Agency Liaison Case Intake Procedures
- Appendix 2 – Agency Liaison Intake Form
- Appendix 3 – IMG Coordinator Case Administration Procedures
- Appendix 4 – Agreement to Mediate
- Appendix 5 – Confidentiality Agreement
- Appendix 6 – Sample Settlement Agreement
- Appendix 7 – Participant Survey (Employee)
- Appendix 8 – Participant Survey (Agency)
- Appendix 9 – Mediator Feedback Form
- Appendix 10 – Mediator Checklist

Agency Liaison Case Intake Procedures

Intake Definition

Intake for the Agency Liaison is a two-step process. The first includes the responsibility of the agency liaison to have determined that the parties in dispute are willing to engage the service of the Interagency Mediation Group (IMG). The second step is the initial contact between the Agency Liaison and the IMG Coordinator.

Purpose of Intake

The purpose is not to hear about the details, but to gather and provide basic information so the parties can make an informed choice whether the IMG Program could work for them. The Agency Liaison will provide material explaining the IMG Program to the parties. The Agency Liaison is also the contact to ensure that the parties and the issue(s) qualify for the program and the guidelines, if any, established by each agency. The agency liaison ensures that the IMG Coordinator and the Mediator are aware of any agency subject matter and resolution limitations.

Initial Call

Intake begins when a call or request for an IMG mediation service is directed to the Agency Liaison. The Liaison gathers enough information from the party to contact the IMG Hotline at (216) 433-9460. If the initial call is from the parties directly involved, they will be referred back to their Agency Liaison.

The following is a sample list of questions that the Agency Liaisons might need to cover on the intake call:

- Are all the parties employees of a participating agency?
- Have they received program materials?
- Have all parties been contacted? Are all parties willing to sign the Agreement to Mediate and Confidentiality Agreement? All parties involved must sign these.
- Names, telephone numbers and addresses of all parties and representatives (if the Representatives will also attend the mediation).
- Any concerns/special needs you or they have for the parties.
- Any agency forms or requirements? (It is the Agency Liaison's responsibility to ensure that any required forms are completed in advance or made available the day of the mediation.)
- Do they need additional information to decide whether mediation might work for them?
- How soon can they begin? What times/days work best for all parties? (Provide at least
- Three different dates and times.)
- Explain to the parties that the next call will likely be from a mediator who will ask
- Questions that are specific about their situation.
- Do the parties understand these procedures?

Appendix 1

CLEVELAND FEB INTERAGENCY MEDIATION GROUP (IMG)

Agency Liaison Intake Form

To be completed by Agency Liaison:

Date: _____
Agency Liaison: _____ Agency: _____
Address: _____
Contact phone: _____ Email: _____
Issues: _____

3 Dates Acceptable to Parties/Reps: _____

Party Information (If more than 2 parties, use another intake form)

Party #1 Name: _____ Agency: _____
Address: _____
Phone : _____ Email: _____
Name of Representative (if applicable): _____
Address: _____
Phone: _____ Email: _____
Relationship to Party #2: _____

Party #2 Name: _____ Agency: _____
Address: _____
Phone: _____ Email: _____
Name of Representative (if applicable): _____
Address: _____
Phone: _____ Email: _____
Relationship to Party #1: _____

Do Parties have Agreement to Mediate and Confidentiality Agreement? Yes ___ No ___
Case Type: EEO ___ Union ___ MSPB ___ Other (specify) _____

Special requirements? _____

To be completed by IMG Coordinator:

IMG Coordinator Name: _____ Phone #: _____
Assigned Case Number: _____
Mediator: _____ Phone #: _____
Address: _____ Email: _____
Co-Mediator: _____ Phone #: _____
Address: _____ Email: _____
Results: _____

Date of closure: _____

IMG Coordinator Case Administration Procedures

Administration Definition and Purpose

Administration includes assignment and coordination of cases for the IMG Program by fielding calls and inquiries from Agency Liaisons, and to select and contact the mediator(s).

For the purposes of consistency and training, IMG Administration will initially be drawn on a rotating basis from the ranks of the IMG Committee.

Working Files

The IMG Coordinator maintains the IMG working files of Agency Liaisons and mediators. The working files consist of:

- The IMG biography of each mediator.
- The contact telephone and fax numbers for each agency liaison and each mediator.
- The number of cases assigned to each mediator.
- The subject matter and resolution requirements or limitations of each participating agency.
- Copies of program documents.

Procedures

The IMG Coordinator retrieves calls from the IMG telephone message number. After the IMG Coordinator obtains a copy of the completed Agency Liaison Intake Form, he/she selects the mediator(s). Generally mediator selection will occur in a rotation, except where there are special requirements such as geographical considerations, conflicts of interest, or expertise.

The Coordinator ensures relevant case data is obtained and transferred to the IMG working files and the permanent IMG files. The IMG Coordinator also ensures the working files are secure and transferred to the next IMG Coordinator.

**Cleveland Federal Executive Board
Interagency Mediation Group (IMG)**

CONFIDENTIALITY AGREEMENT

1. The parties agree to participate voluntarily in mediation in an effort to resolve issues raised in _____ (case name).
2. The parties agree that all matters discussed during the mediation are confidential, unless otherwise discoverable, and cannot be used as evidence in any subsequent administrative or judicial proceeding. Confidentiality, however, will not extend to threats of imminent physical harm or incidents of actual violence that occur during the mediation.
3. Any communications between the IMG Coordinator and the IMG mediator(s) and/or the parties are considered dispute resolution communications with a neutral and will be kept confidential.
4. The parties agree not to subpoena the mediator(s) or compel the mediator(s) to produce any documents provided by a party in any pending or future administrative or judicial proceeding. The mediator(s) will not voluntarily testify on behalf of a party in any pending or future administrative or judicial proceeding. The parties further agree that the mediator(s) will be held harmless for any claim arising from the mediation process.
5. All information including all notes, records, or documents generated during the course of the mediation shall be destroyed at the conclusion of the session. The IMG will not maintain any such notes or records as part of its record keeping procedures.
6. If a settlement is reached by all the parties, the agreement shall be reduced to writing and when signed shall be binding upon all parties to the agreement. No party shall be bound by anything said or done at the mediation unless a written settlement is reached and executed by all necessary parties.

Party Signature	Date	Party Signature	Date
Representative Signature	Date	Representative Signature	Date
Representative Signature	Date	Representative Signature	Date

Appendix 5

**PARTICIPANT SURVEY (Employee)
Cleveland Federal Executive Board
Interagency Mediation Group (IMG)**

Your assistance in completing this survey will allow the Cleveland Federal Executive Board Alternative Dispute Resolution Committee to analyze its current mediation process so that we may improve the level of service for future participants. Please answer the questions by circling responses that most accurately represent your view. All information will be used only in relation to evaluating the mediation process and will be kept confidential.

Charge/Case Number: _____

1. I received an adequate explanation about mediation before attending the scheduled session.

5	4	3	2	1
Very good	Good	Average	Fair	No

2. The mediation was scheduled promptly.

5	4	3	2	1
Very promptly	Promptly	Adequate	Could be better	No

3. After the mediator's introduction at the mediation session, I felt that I understood the mediation process.

5	4	3	2	1
Yes	Mostly	Somewhat	Not much	No

4. I had an opportunity to present my views during the mediation session.

5	4	3	2	1
Yes	Mostly	Somewhat	Not much	No

5. The mediator listened and helped clarify the parties' concerns and interests.

5	4	3	2	1
Most helpful	Fairly well	Somewhat	Not much	No

6. The mediator seemed to understand the concerns and interests of the parties.

5	4	3	2	1
Yes	Mostly	Somewhat	Not very well	No

7. The mediator remained neutral during the session.

5	4	3	2	1
Yes	Mostly	Somewhat	Not much	No

8. The mediator worked with the parties to help them develop options for resolving the issues.

5	4	3	2	1
Most helpful	Fairly well	Somewhat	Not much	No

9. The options developed during the mediation were realistic solutions to resolving the charge.

5	4	3	2	1
Yes	Mostly	Somewhat	Not much	No

10. I was satisfied with the fairness of the mediation process.

5	4	3	2	1
Yes	Mostly	Somewhat	Not much	No

(OVER)

Appendix 7

11. If mediation did not resolve the charge, I believe that progress was made toward resolution.

5 4 3 2 1
Very much A little About the same Not much None

12. Please circle the appropriate answer about the status of your mediation session:

- A. Mediation is completed and the issue has been resolved in mediation.
- B. Mediation is completed, but the issue has not been resolved

13. Would you rate this mediation as successful (circle one)? A. Yes B. No

Why? _____

14. Would you recommend this service to others (circle one)? A. Yes B. No

Why? _____

15. Please describe any benefits that you feel have resulted from the mediation process. Examples might include repaired working relationships, enhanced communication or office productivity, money saved, etc.

16. Do you have any suggestions which might make this service more useful or responsive?

17. Name/Agency (Optional) _____

Please fill out and return to the ADR Committee, Cleveland FEB, Federal Building Room 355, 1240 East 9th St., Cleveland, Ohio 44199-2002 (or return the form to the mediator in a sealed envelope at the end of the mediation).

Appendix 7

**PARTICIPANT SURVEY (Agency)
Cleveland Federal Executive Board
Interagency Mediation Group (IMG)**

Your assistance in completing this survey will allow the Cleveland Federal Executive Board Alternative Dispute Resolution Committee to analyze its current mediation process so that we may improve the level of service for future participants. Please answer the questions by circling responses that most accurately represent your view. All information will be used only in relation to evaluating the mediation process and will be kept confidential.

Charge/Case Number: _____

1. I received an adequate explanation about mediation before attending the scheduled session.

5	4	3	2	1
Very good	Good	Average	Fair	No

2. The mediation was scheduled promptly.

5	4	3	2	1
Very promptly	Promptly	Adequate	Could be better	No

3. After the mediator's introduction at the mediation session, I felt that I understood the mediation process.

5	4	3	2	1
Yes	Mostly	Somewhat	Not much	No

4. I had an opportunity to present my views during the mediation session.

5	4	3	2	1
Yes	Mostly	Somewhat	Not much	No

5. The mediator listened and helped clarify the parties' concerns and interests.

5	4	3	2	1
Most helpful	Fairly well	Somewhat	Not much	No

6. The mediator seemed to understand the concerns and interests of the parties.

5	4	3	2	1
Yes	Mostly	Somewhat	Not very well	No

7. The mediator remained neutral during the session.

5	4	3	2	1
Yes	Mostly	Somewhat	Not much	No

8. The mediator worked with the parties to help them develop options for resolving the issues.

5	4	3	2	1
Most helpful	Fairly well	Somewhat	Not much	No

9. The options developed during the mediation were realistic solutions to resolving the charge.

5	4	3	2	1
Yes	Mostly	Somewhat	Not much	No

10. I was satisfied with the fairness of the mediation process.

5	4	3	2	1
Yes	Mostly	Somewhat	Not much	No

(OVER)

Appendix 8

11. If mediation did not resolve the charge, I believe that progress was made toward resolution.

5 4 3 2 1
Very much A little About the same Not much None

12. Please circle the appropriate answer about the status of your mediation session:

- A. Mediation is completed and the issue has been resolved in mediation.
- B. Mediation is completed, but the issue has not been resolved

13. Would you rate this mediation as successful (circle one)? A. Yes B. No

Why? _____

14. Would you recommend this service to others (circle one)? A. Yes B. No

Why? _____

15. Please describe any benefits that you feel have resulted from the mediation process. Examples might include repaired working relationships, enhanced communication or office productivity, money saved, etc.

16. Do you have any suggestions which might make this service more useful or responsive?

17. Name/Agency (Optional) _____

Please fill out and return to the ADR Committee, Cleveland FEB, Federal Building Room 355, 1240 East 9th St., Cleveland, Ohio 44199-2002 (or return the form to the mediator in a sealed envelope at the end of the mediation).

Appendix 8

**Cleveland Federal Executive Board
Interagency Mediation Group (IMG)
Mediator Feedback Form**

We are continually looking for ways to assess and improve the effectiveness of the IMG program. Mediators are requested to complete this form upon completion of each mediation. Please mail the questionnaire to **ADR Committee, Cleveland FEB, Federal Building Room 355, 1240 East 9th St., Cleveland, Ohio 44199-2002**, or FAX it to the Cleveland FEB ADR Committee at (216) 433-9463).

Mediator name: _____ Mediator agency: _____

Date of mediation: _____

Charge/Case Number: _____ Requesting Agency: _____

Please circle the number best describing the final disposition of the mediation session:

1. No resolution – conflict still exists.
2. No resolution – communication between parties has improved as a result of mediation.
3. Partial resolution – a written settlement agreement has been executed for some of the issues.
4. Complete resolution – a written settlement agreement has been executed for all identified issues.
5. Complete resolution – complainant signed a withdrawal form/agreement

Please rate the following items on a scale of 1 to 5 by circling the number that represents your choice:

- | | |
|--------------------------------|---|
| 5 = Strongly Agree | 2 = Somewhat Disagree |
| 4 = Somewhat Agree | 1 = Strongly Disagree |
| 3 = Neither Agree Nor Disagree | N = Don't know or are unable to determine |

- | | | | | | | |
|---|---|---|---|---|---|---|
| A. The right parties were at the table. | 5 | 4 | 3 | 2 | 1 | N |
| B. Both sides negotiated in good faith. | 5 | 4 | 3 | 2 | 1 | N |
| C. You were able to help clarify key issues. | 5 | 4 | 3 | 2 | 1 | N |
| D. You helped create realistic options for settling the matter. | 5 | 4 | 3 | 2 | 1 | N |

Please describe any benefits that you feel have resulted from the mediation process. Examples might include repaired working relationships, enhanced communication or office productivity, money saved, etc.

Please provide any comments: _____

Thank you for your service to the Cleveland Federal Community!

Appendix 9

**Cleveland Federal Executive Board
Interagency Mediation Group
Mediator Checklist**

- Receive intake information from IMG Coordinator
- Consult with IMG Coordinator in choosing co-mediator
- Schedule the mediation (consult with co-mediator, Agency Liaison, parties)
- Consult with Agency Liaison on logistics, needs
- Ensure the parties are aware of the process of mediation
 - Confidentiality
 - Neutrality of mediator(s) - provide mediator(s) name
 - Role of the mediator (does not make decisions)
 - Voluntary process
 - Self-determination (parties decide whether to mediate and whether to resolve)
 - Representation
 - Preservation of rights
 - Procedures (joint/separate sessions)
 - Parties should prepare for mediation by focusing on workable ideas to resolve issues
 - Clear the calendar of other appointments for the day
- Gather all forms needed
 - Agency Liaison Intake Form
 - Agreement to Mediate (3 copies - one for each party and one for IMG file)
 - Confidentiality Agreement (one for each person attending and their representative, if any, and one for IMG file)
 - Participant Survey (Employee)
 - Participant Survey (Agency)
 - Mediator Feedback Form
- Mediation Process (see training materials)
 - Agreement to Mediate and Confidentiality Agreement signed by all parties
 - Mediator opening statement
 - Joint session with initial statements by both parties
 - Caucus as appropriate
 - Preparation of and signing of agreement, if obtained
 - Pass out Participant Surveys and envelopes (collect same day if possible)
 - Session closure
- Complete Mediator Feedback Form
- Destroy mediator notes from mediation
- Call IMG Coordinator or IMG Hotline with results of mediation
- Return Agency Liaison Intake Form, Agreement to Mediate, Confidentiality Agreement, Participant Surveys, and Mediator Feedback Form to Cleveland FEB ADR

Appendix 10