

# **Table of Contents**

## **Volume 1**

### **PART I. INTRODUCTION TO ALTERNATIVE DISPUTE RESOLUTION**

#### **CHAPTER 1. AN ADR OVERVIEW**

##### **I. INTRODUCTION**

§ 1:1 History and uses of ADR

##### **II. CHOOSING FROM THE ADR OPTIONS**

§ 1:2 Contractual arbitration  
§ 1:3 Judicial arbitration  
§ 1:4 Mediation  
§ 1:5 Dispute review boards  
§ 1:6 Med-arb  
§ 1:7 Mini-trials  
§ 1:8 Partnering  
§ 1:9 Private judging  
§ 1:10 Collaborative law and settlement counsel

##### **III. FEDERAL AND STATE DEVELOPMENTS IN THE USE OF ADR**

§ 1:11 Generally  
§ 1:12 Court programs  
§ 1:13 Federal legislation  
§ 1:14 Federal agencies

##### **IV. STATE DEVELOPMENTS**

§ 1:15 State legislation and court programs  
§ 1:16 Benevolent gestures

- § 1:17 State agencies
- § 1:18 ADR resources and updates

## **V. CONCLUSION**

- § 1:19 The benefits of ADR
- § 1:20 Online Resources

# **PART II. ARBITRATION**

## **CHAPTER 2. LEGAL OVERVIEW**

- § 2:1 Introduction
- § 2:2 The Federal Arbitration Act (“FAA”)
- § 2:3 FAA jurisdiction
- § 2:4 Judicial commitment to enforce arbitration agreements under the FAA
- § 2:5 Preemption: introduction
- § 2:6 Preemption and forum
- § 2:7 Preemption and choice of law issues
- § 2:8 Statutory claims
- § 2:9 Ancillary tort claims
- § 2:10 State arbitration statutes

## **CHAPTER 3. THE DECISION TO ARBITRATE**

### **I. INTRODUCTION**

- § 3:1 When to make the decision
- § 3:2 Decision by agreement before dispute has arisen
- § 3:3 Decision by agreement after dispute has arisen
- § 3:4 Decision before filing arbitration demand
- § 3:5 Terms of arbitration agreement
- § 3:6 Preliminary issues to consider

### **II. MAJOR FACTORS TO CONSIDER**

- § 3:7 Time to final adjudication
- § 3:8 Relative costs
- § 3:9 Direct costs
- § 3:10 Indirect costs
- § 3:11 Discovery

## TABLE OF CONTENTS

- § 3:12 The arbitrator
- § 3:13 Ad hoc arbitration
- § 3:14 Party-appointed arbitrators
- § 3:15 Informality—Generally
- § 3:16 —Rules of evidence
- § 3:17 —Substantive law
- § 3:18 —Form of the award
- § 3:19 Finality and appeal
- § 3:20 Privacy and security

## III. CONCLUSION

- § 3:21 Careful consideration

# CHAPTER 4. THE ARBITRATION AGREEMENT

## I. INTRODUCTION

- § 4:1 Is there a need for a written agreement?
- § 4:2 Predispute agreements
- § 4:3 Submission agreements

## II. DRAFTING THE ARBITRATION AGREEMENT

- § 4:4 General considerations
- § 4:5 The arbitration forum
- § 4:6 Procedural rules
- § 4:7 The selection of the arbitrators
- § 4:8 Discovery
- § 4:9 Confidentiality
- § 4:10 Applicable law
- § 4:11 The form of the award
- § 4:12 The arbitrator's power to grant relief

# CHAPTER 5. REMEDIES AVAILABLE IN ARBITRATION

- § 5:1 General rule
- § 5:2 Interest and attorneys' fees
- § 5:3 Punitive and emotional distress damages
- § 5:4 Costs and other sanctions
- § 5:5 Provisional remedies and other equitable relief

- § 5:6 Default
- § 5:7 Summary dispositions

## CHAPTER 6. COMPELLING AND RESISTING ARBITRATION

### I. INTRODUCTION

- § 6:1 Arbitrability, generally
- § 6:2 Is arbitrability a question for the courts or the arbitrators?

### II. COMPELLING ARBITRATION

- § 6:3 Compelling arbitration—Generally
- § 6:4 Threshold issues for consideration
- § 6:5 Is there an agreement to arbitrate?
- § 6:6 Is the dispute covered by the agreement?
- § 6:7 Mutuality and Notice
- § 6:8 Petitions and motions to compel arbitration
- § 6:9 Strategies to determine the enforceability of the arbitration agreement
- § 6:10 Stay of proceedings

### III. RESISTING ARBITRATION

- § 6:11 Generally
- § 6:12 Fraud in the inducement & other bases to void or sever claims
- § 6:13 Unwritten or unsigned arbitration agreement: preliminary questions
- § 6:14 Nonsignatories to the agreement
- § 6:15 Third-party beneficiaries and equitable estoppel
- § 6:16 Contracts of adhesion and unconscionability
- § 6:17 Waiver and estoppel
- § 6:18 Collateral estoppel and res judicata

## CHAPTER 7. CHOOSING THE ARBITRATION FORUM

### I. INTRODUCTION

- § 7:1 The significance of the choice of forum
- § 7:2 Differences among forums

## TABLE OF CONTENTS

§ 7:3 The choice of not choosing

### **II. THE PARTIES' OPPORTUNITIES TO CHOOSE THE FORUM**

§ 7:4 The arbitration agreement  
§ 7:5 The submission agreement

### **III. FACTORS DIFFERENTIATING FORUMS**

§ 7:6 Location  
§ 7:7 Fees and fee structures  
§ 7:8 Administrative services offered: generally  
§ 7:9 Administrative services offered: administrative style  
§ 7:10 Administrative services offered: rules and rule flexibility  
§ 7:11 Allocation of power between arbitrator (or parties) and forum  
§ 7:12 Privacy  
§ 7:13 Representation

### **IV. ATTRIBUTES OF THE FORUM'S AVAILABLE ARBITRATORS**

§ 7:14 Prime importance of the forum's available arbitrators (the "panel")  
§ 7:15 Size and range of qualifications and experience  
§ 7:16 Nature and extent of screening and training

## **CHAPTER 8. COMMENCING ARBITRATION**

§ 8:1 Introduction  
§ 8:2 Drafting the statement of claim  
§ 8:3 Filing the claim  
§ 8:4 The submission agreement  
§ 8:5 Deposit of fees  
§ 8:6 The hearing location  
§ 8:7 Expedited procedures for small claims

## **CHAPTER 9. RESPONDING TO THE CLAIM**

§ 9:1 The answer—Generally

- § 9:2 Filing the answer
- § 9:3 Content
- § 9:4 Counterclaims

## **CHAPTER 10. CHOOSING THE ARBITRATION PANEL**

### **I. INTRODUCTION**

- § 10:1 Importance of the makeup of the panel
- § 10:2 Differences among forums in panel selection procedures
- § 10:3 Parties' opportunities to determine or affect case panel selection or selection procedures

### **II. CASE PANEL SELECTION OBJECTIVES AND CONSIDERATIONS**

- § 10:4 The ideal case panel
- § 10:5 Qualities that all case panelists should have
- § 10:6 Arbitrator expertise
- § 10:7 Some personality types to avoid
- § 10:8 The sole arbitrator
- § 10:9 Cost consequences: Arbitrator compensation

### **III. CASE PANEL SELECTION TECHNIQUES**

- § 10:10 Selecting the panel offered by an administrative organization
- § 10:11 Choosing a panel under an ad hoc administration
- § 10:12 The party-Appointed arbitrator alternative
- § 10:13 Obtaining information about prospective case panelists
- § 10:14 Arbitrator conflicts of interest and disqualifications
- § 10:15 Party challenges of arbitrators

## **CHAPTER 11. PREPARING FOR THE HEARING**

- § 11:1 Introduction—Factors to consider in preparing
- § 11:2 Representation in arbitration
- § 11:3 Investigation and preparation

## TABLE OF CONTENTS

- § 11:4 Prehearing discovery
- § 11:5 Preliminary hearing or scheduling conference
- § 11:6 Subpoenas of documents and witnesses
- § 11:7 Motion practice
- § 11:8 Depositions
- § 11:9 Use of experts
- § 11:10 Setting the hearing
- § 11:11 The opening brief and pre-hearing submissions

## CHAPTER 12. THE HEARING

- § 12:1 Preliminary matters and consideration of virtual evidentiary hearings
- § 12:2 Formal opening
- § 12:3 Stipulations
- § 12:4 Order of proof
- § 12:5 Opening statements
- § 12:6 Presentation of Evidence
- § 12:7 Order and number of witnesses
- § 12:8 Exclusion of witnesses
- § 12:9 Direct examination of witnesses
- § 12:10 Cross-examination of witnesses
- § 12:11 Impeaching witnesses
- § 12:12 Expert witnesses
- § 12:13 Use of affidavits
- § 12:14 Documents
- § 12:15 Rebuttal evidence
- § 12:16 Site inspection or investigation
- § 12:17 Standard of proof
- § 12:18 Record of proceedings
- § 12:19 Closing arguments
- § 12:20 Closing briefs
- § 12:21 Closing the hearing
- § 12:22 Reopening the hearing

## CHAPTER 13. DELIBERATION AND AWARD

### I. THE AWARD

- § 13:1 Timing of the award
- § 13:2 Effect of the award if it is not made within proper time period

## ADR PRACTICE GUIDE

- § 13:3 Form of the award: “reasoned” or “standard”  
(short)
- § 13:4 Service of the award
- § 13:5 Summary judgment
- § 13:6 Award to be executed by majority of arbitrators
- § 13:7 Requirement of finality in the award
- § 13:8 Award that does not dispose of all questions presented to the arbitrator(s)
- § 13:9 *Functus officio* and retention of jurisdiction by arbitrators
- § 13:10 Award involving claims not submitted to the arbitrator(s)
- § 13:11 Legal effect of the award
- § 13:12 *Res judicata* effect of the award
- § 13:13 *Collateral estoppel* effect of the award

## CHAPTER 14. POST-AWARD PROCEEDINGS AND APPEALS

### I. INTRODUCTION

- § 14:1 Introduction
- § 14:2 Jurisdiction
- § 14:3 Venue
- § 14:4 Appeals under FAA Section 16
- § 14:5 Finality of arbitrator decision for jurisdiction

### II. COMPELLING ARBITRATION

- § 14:6 Petitions to compel/motions to stay
- § 14:7 —Standard of review
- § 14:8 —Effect of appeal
- § 14:9 Petitions to compel/motions to stay-state law grounds

### III. MODIFICATION AND VACATUR OF THE AWARD

- § 14:10 Motions to vacate or modify the final award—limitations on review
- § 14:11 Modification or correction-timing
- § 14:12 Grounds for modification
- § 14:13 Modification of arbitration award and doctrine of *functus officio*

## TABLE OF CONTENTS

- § 14:14 Vacating an award—Generally
- § 14:15 —Timing
- § 14:16 Grounds for vacatur—Generally
- § 14:17 Partial vacatur
- § 14:18 Corruption, fraud, or undue means
- § 14:19 —Perjured testimony as fraud
- § 14:20 Arbitrator corruption or partiality
- § 14:21 Arbitrator misconduct for refusing to postpone a hearing or hear evidence
- § 14:22 Exceeding arbitral powers—Generally
- § 14:23 —Scope of relief
- § 14:24 Manifest disregard of the law standard and the Supreme Court’s 2008 *Hall Street* decision
- § 14:25 Circuit split Regarding Whether Manifest disregard of the law standard remains viable after *Hall Street*
- § 14:26 Other grounds to vacate: awards contrary to public policy & waiver of statutory rights
- § 14:27 Proceedings not authorized by underlying agreement
- § 14:28 Timing challenges and waiver
- § 14:29 Remand

## IV. CONFIRMATION OF AWARD

- § 14:30 Confirmation of the award
- § 14:31 Timing to confirm
- § 14:32 Jurisdiction to Confirm
- § 14:33 Standard of review for reviewing District Court decision’s confirming arbitration awards

## V. UNIQUE APPELLATE ISSUES UNDER STATE ARBITRATION LAWS

- § 14:34 Unique appellate issues under state arbitration laws

## VI. OPTIONAL APPELLATE RULES

- § 14:35 Optional appellate rules

## **CHAPTER 15. ARBITRATION OF CLASS ACTIONS, MASS ARBITRATIONS, AND CONSOLIDATION**

### **I. INTRODUCTION**

§ 15:1 Context

### **II. CLASS-WIDE ARBITRATION**

- § 15:2 Early Supreme Court response to class actions
- § 15:3 AT&T Mobility LLC v. Concepcion
- § 15:4 The Supreme Court following Concepcion
- § 15:5 American Express v. Italian Colors Restaurant
- § 15:6 Direct TV v. Imburgia & regulatory backlash
- § 15:7 Epic Systems v. Lewis
- § 15:8 Lamps Plus, Inc. v. Varela
- § 15:9 Subsequent mandates and Viking River Cruises
- § 15:10 Procedures for class-wide arbitrations by agreement
- § 15:11 Commencing the class arbitration process
- § 15:12 Certifying the class
- § 15:13 Notice to the class & process
- § 15:14 Mass arbitrations and consolidation: introduction
- § 15:15 Mass arbitrations and consolidation: judicial responses

## **CHAPTER 16. ARBITRATION OF CONSTRUCTION DISPUTES**

### **I. INTRODUCTION**

- § 16:1 Generally
- § 16:2 Arguments for arbitration
- § 16:3 Arguments against arbitration
- § 16:4 —Responses to objections

### **II. SELECTION OF ARBITRATORS**

- § 16:5 Arbitration clauses
- § 16:6 Selection of arbitrators
- § 16:7 Non-lawyer representatives and arbitrators

## TABLE OF CONTENTS

### **III. PROCEDURAL ISSUES**

- § 16:8 Choice of law
- § 16:9 What parties will be involved?
- § 16:10 Venue
- § 16:11 Timetable
- § 16:12 Discovery
- § 16:13 Mechanic's lien rights
- § 16:14 Applicability of substantive law
- § 16:15 Explanation of decision
- § 16:16 Licensure

## **CHAPTER 17. ARBITRATION OF EMPLOYMENT DISPUTES**

### **I. INTRODUCTION**

- § 17:1 Arbitration as a condition of employment: In General
- § 17:2 Exceptions to Mandatory Arbitration in Employment
- § 17:3 General background
- § 17:4 Costs of arbitration, Employer Promulgated Plan versus Individually Negotiated Agreement
- § 17:5 The preemptive effect of the Federal Arbitration Act
- § 17:6 Statutory claims
- § 17:7 Common law claims
- § 17:8 Sources of pre-dispute agreements to arbitrate
- § 17:9 Other Issues Affecting Enforcement of Arbitration Agreements

### **III. FACTORS TO CONSIDER IN THE ARBITRATION PROCEDURE**

- § 17:10 Fairness
- § 17:11 Scope of the arbitration agreement
- § 17:12 Method of selecting the arbitrator
- § 17:13 The standards to be applied
- § 17:14 Burden of proof
- § 17:15 Period of limitations
- § 17:16 Severability provision—"Gateway" decisions concerning arbitrability
- § 17:17 Confidentiality

- § 17:18 Payment of attorneys' fees and sanctions
- § 17:19 Written awards
- § 17:20 Should mediation be a mandatory step in an arbitration agreement?
- § 17:21 Discovery
- § 17:22 Scope of remedies
- § 17:23 Place of hearing in the absence of agreement by the parties
- § 17:24 Judicial proceedings

## **CHAPTER 18. UNIQUE PROBLEMS POSED BY INTELLECTUAL PROPERTY DISPUTES**

- § 18:1 Introduction
- § 18:2 The arbitrability of intellectual property disputes within the United States
- § 18:3 The arbitrability of intellectual property rights outside the United States
- § 18:4 The enforcement of arbitration awards concerning intellectual property on an international basis
- § 18:5 The advantages of mediation and arbitration of intellectual property disputes
- § 18:6 Institutions and institutional arbitration and mediation rules and procedures for the resolution of intellectual property disputes
  - § 18:7 —WIPO—Arbitration Rules
  - § 18:8 ——Mediation Rules
  - § 18:9 —The CPR Institute for Dispute Resolution
  - § 18:10 The resolution of disputes between mark holders and domain name registrants
  - § 18:11 Dispute resolution procedures for *.eu*
  - § 18:12 The CASE Act - an alternative forum for small-claims copyright disputes

## **CHAPTER 19. ARBITRATION OF INTERNATIONAL DISPUTES**

### **I. INTRODUCTION**

- § 19:1 The need for a system of dispute resolution across national borders

## TABLE OF CONTENTS

### **II. INTERNATIONAL ARBITRAL INSTITUTIONS AND RULES**

- § 19:2 The International Chamber of Commerce (“ICC”)
- § 19:3 UNCITRAL Arbitration Rules
- § 19:4 The International Centre for Dispute Resolution
- § 19:5 The London Court of International Arbitration (“LCIA”)
- § 19:6 The Stockholm Chamber of Commerce Arbitration Institute (“SCC”)
- § 19:7 The Singapore International Arbitration Centre (“SIAC”)
- § 19:8 Hong Kong International Arbitration Centre (“HKIAC”)
- § 19:9 The International Center for the Settlement of Investment Disputes (“ICSID”)
- § 19:10 The Dubai International Arbitration Centre (“DIAC”)
- § 19:11 Permanent Court of Arbitration (“PCA”)
- § 19:12 The CPR Institute for Dispute Resolution (“CPR”)
- § 19:13 The World Intellectual Property Organization Arbitration and Mediation Center (“WIPO”)
- § 19:14 Iran-U.S. Claims Tribunal
- § 19:15 The pros and cons of institutional and ad hoc arbitration

### **III. INTERNATIONAL COMMERCIAL ARBITRATION IN THE UNITED STATES**

- § 19:16 Applicable law
- § 19:17 Jurisdiction
- § 19:18 Arbitrability
- § 19:19 Subpoena power
- § 19:20 Consolidation of arbitrations
- § 19:21 Appellate review

### **IV. INTERNATIONAL RECOGNITION AND ENFORCEMENT OF AGREEMENTS TO ARBITRATE AND OF ARBITRAL AWARDS**

- § 19:22 The New York Convention on the Recognition and Enforcement of Foreign Arbitral Awards
- § 19:23 Applicability

§ 19:24 Recognition and enforcement

## **V. PROCEDURES IN INTERNATIONAL ARBITRATION**

- § 19:25 Commencing arbitration
- § 19:26 Selection of arbitrators
- § 19:27 Statement of claim and answer
- § 19:28 Discovery
- § 19:29 Terms of reference
- § 19:30 Applicable rules of law
- § 19:31 Provisional remedies
- § 19:32 Case presentation
- § 19:33 Awards

## **CHAPTER 20. REAL ESTATE ARBITRATION**

- § 20:1 Introduction
- § 20:2 Federal and state court oversight of arbitration
- § 20:3 Arbitration agreements
- § 20:4 Ability to select the adjudicator
- § 20:5 Confidentiality of proceedings
- § 20:6 Finality of arbitrators' award
- § 20:7 Compromise decisions
- § 20:8 Arbitration providers
- § 20:9 Arbitrator selection
- § 20:10 Arbitrators' powers
- § 20:11 Initiation of arbitration
- § 20:12 Efficiency v. discovery
- § 20:13 Preliminary conference
- § 20:14 The hearing
- § 20:15 Evidentiary attachments
- § 20:16 The arbitration award
- § 20:17 Drafting arbitration provisions
- § 20:18 Enforceability of the arbitration clause
- § 20:19 Tailoring arbitration provisions to the transaction
- § 20:20 Loan documents
- § 20:21 Title insurance
- § 20:22 Purchase and sale agreements
- § 20:23 Joint venture agreements
- § 20:24 Leases

TABLE OF CONTENTS

## **CHAPTER 21. ARBITRATION OF SECURITIES DISPUTES**

### **I. INTRODUCTION**

- § 21:1 History of securities arbitration
- § 21:2 Industry case filings

### **II. THE ARBITRATION PROCESS**

- § 21:3 Filing the claim
- § 21:4 The statement of claim
- § 21:5 The answer
- § 21:6 Amendment to claim or answer
- § 21:7 Representation by counsel
- § 21:8 Selection of arbitrators
- § 21:9 Injunctions
- § 21:10 Discovery
- § 21:11 The hearing

### **III. THE END OF THE PROCESS**

- § 21:12 The award
- § 21:13 Disciplinary referrals

## **CHAPTER 22. JUDICIAL ARBITRATION**

### **I. INTRODUCTION**

- § 22:1 Definitions and distinctions

### **II. COMMENCING JUDICIAL ARBITRATION**

- § 22:2 Compulsory (court-ordered) arbitration
- § 22:3 Voluntary arbitration

### **III. SELECTING THE ARBITRATOR**

- § 22:4 Generally
- § 22:5 Obtaining information about potential arbitrators
- § 22:6 Selection considerations
- § 22:7 Arbitrator's powers

### **IV. PREHEARING PREPARATION**

- § 22:8 Settlement

- § 22:9 Discovery
- § 22:10 Documentary evidence
- § 22:11 Depositions
- § 22:12 Technical requirements
- § 22:13 Organizing the presentation
- § 22:14 Preparing witnesses

## **V. THE HEARING**

- § 22:15 Opening briefs
- § 22:16 Failure to appear or present evidence
- § 22:17 The hearing
- § 22:18 Prehearing conference
- § 22:19 Opening statements
- § 22:20 Documentary evidence
- § 22:21 Witnesses
- § 22:22 Closing argument
- § 22:23 Legal memoranda

## **VI. POSTHEARING PRACTICE**

- § 22:24 Generally
- § 22:25 Request for trial de novo
- § 22:26 Costs and sanctions relating to trial de novo
- § 22:27 Settlement

# **PART III. MEDIATION**

## **CHAPTER 23. INTRODUCTION TO MEDIATION: A FULL RESOLUTION APPROACH**

### **I. THE STRUCTURE OF MEDIATION**

- § 23:1 Introduction—A practical guide to mediation
- § 23:2 Mediated negotiation—A voluntary process
- § 23:3 The decision to mediate—Preliminary considerations
- § 23:4 Bringing the right people to the table
- § 23:5 Typical format
- § 23:6 —Joint meeting
- § 23:7 —Caucuses

## TABLE OF CONTENTS

- § 23:8 Alternative format using pre-session meetings
- § 23:9 The importance of confidentiality
- § 23:10 On giving opinions
- § 23:11 Suggesting a basis for settlement

## II. MEDIATION STYLES—HOW AIM AFFECTS RESULTS

- § 23:12 Mediation styles vary from evaluative to facilitative
- § 23:13 The mediator's aim—Setting the goal
- § 23:14 How full-resolution orientation differs from compromise

## III. A PRACTICAL FIVE STEP PROCESS

- § 23:15 The five steps—Shifting from polarizing debate to cooperative problem solving
- § 23:16 —Step 1: Identifying the problem
- § 23:17 —Step 2: Expanding information exchange
- § 23:18 —Step 3: Setting the goal—Aiming for resolution at the highest level
- § 23:19 —Step 4: Implementation—Finding the path to settlement
- § 23:20 —Step 5: Closure—Attending to all the details
- § 23:21 Final analysis, the importance of great expectations

# CHAPTER 24. THE MEDIATION PROCESS

## I. THE DECISION TO MEDIATE

- § 24:1 Introduction
- § 24:2 The lawyer's changing role
- § 24:3 Developing a negotiation strategy
- § 24:4 Why mediations succeed when face-to-face negotiations fail
- § 24:5 Mediation is more cost-effective than traditional litigation
- § 24:6 Early mediation is often productive
- § 24:7 Mediation late in the game
- § 24:8 Can mediation be worthwhile if it is not binding?

## **II. INTRODUCING MEDIATION TO THE CLIENT**

§ 24:9 Communicating with the client

## **III. THE ART OF CONVENING**

§ 24:10 Generally  
§ 24:11 Getting people to the mediation table  
§ 24:12 The invitation to convene  
§ 24:13 Sample invitation, responses, strategies

## **IV. THE MEDIATOR**

§ 24:14 Selecting the mediator  
§ 24:15 Using a technical co-mediator  
§ 24:16 Sources of mediators  
§ 24:17 Court settlement-conferencing  
§ 24:18 Power-balancing

## **V. WHO SHOULD ATTEND THE MEDIATION**

§ 24:19 All decision-makers should be present  
§ 24:20 Who should be excluded from the mediation

## **VI. PREPARATION AND ADVANCE PLANNING**

§ 24:21 Generally  
§ 24:22 Use the mediator to help prepare  
§ 24:23 Belief in settlement  
§ 24:24 Clarify goals  
§ 24:25 Evaluate the information needs in the case

## **VII. PRESENTING THE INFORMATION**

§ 24:26 Mediation briefs and memoranda  
§ 24:27 Timing and extent of disclosure  
§ 24:28 Opening statements by the mediator  
§ 24:29 Fact exchange at the joint session  
§ 24:30 Private caucus sessions  
§ 24:31 Tipping your hand: The element of surprise  
§ 24:32 The mediation demeanor

## **VIII. MEDIATING SETTLEMENT WHERE MORE THAN MONEY CHANGES HANDS**

§ 24:33 Generally

## TABLE OF CONTENTS

- § 24:34 Case study: Mediation of engineers' professional liability in dam construction

## **IX. AFTER AGREEMENT IS REACHED**

- § 24:35 Capturing agreements reached in mediation
- § 24:36 Interim agreements
- § 24:37 Final agreements

## **X. CONCLUSION**

- § 24:38 The parties' ability to control and choose

## **CHAPTER 25. MEDIATION AGREEMENTS**

- § 25:1 Introduction
- § 25:2 The benefits of drafting a predispute mediation clause
- § 25:3 Drafting the predispute mediation clause
- § 25:4 If a dispute arises
- § 25:5 Checklist of terms to include in a "custom" prepared mediation agreement
- § 25:6 Putting "teeth" in the mediation agreement
- § 25:7 Using a mediation provider
- § 25:8 Enforceability of the agreement to mediate
- § 25:9 Conclusion

## **CHAPTER 26. SELECTED ESSAYS ON MEDIATION**

- § 26:1 Introduction
- § 26:2 From conflict to resolution: When to negotiate the litigated case
- § 26:3 A simple thank you
- § 26:4 Keys for a successful mediation
- § 26:5 Effective preparation for mediation
- § 26:6 Reading between the lines
- § 26:7 Taking risks and learning from conflict
- § 26:8 Do you mediate ethically?
- § 26:9 The use of apologies in mediations

## **CHAPTER 27. CONFIDENTIALITY IN MEDIATION AND THE MEDIATED SETTLEMENT AGREEMENT**

### **I. CONFIDENTIALITY DURING THE MEDIATION**

- § 27:1 Introduction
- § 27:2 The opening (joint) session
- § 27:3 The private caucus sessions

### **II. PROTECTION OF THE MEDIATION PROCESS**

- § 27:4 The confidentiality agreement
- § 27:5 The Alternative Dispute Resolution Act of 1998 and court rules
- § 27:6 Comity and jurisprudence
- § 27:7 The Uniform Mediation Act
- § 27:8 State mediation statutes and benevolent gestures
- § 27:9 Interpretation and application of laws protecting confidentiality

### **III. PROTECTION OF STATEMENTS IN CONNECTION WITH SETTLEMENT OFFERS**

- § 27:10 State and Federal Rule(s) of Evidence 408

### **IV. OTHER PROTECTIONS**

- § 27:11 Common law protection
- § 27:12 Rule of Evidence 403
- § 27:13 Federal Rule of Civil Procedure 68
- § 27:14 Protection of “quasi-judicial proceedings”

### **V. THE EFFECT OF MEDIATION ON OTHER PRIVILEGES**

- § 27:15 The attorney work-product doctrine and the attorney-client privilege

### **VI. REMEDIES**

- § 27:16 Remedies for breach of confidentiality

## TABLE OF CONTENTS

### **VII. THE MEDIATED SETTLEMENT AGREEMENT**

- § 27:17 Enforceability of the settlement agreement
- § 27:18 Enforceability of MOUs, Term Sheets, and unexecuted agreements
- § 27:19 *Res judicata* and *collateral estoppel* effects of the settlement agreement
- § 27:20 Limitations on the *res judicata* and *collateral estoppel* effects of the settlement agreement

### **CHAPTER 28. COMMERCIAL MEDIATION**

- § 28:1 Introduction
- § 28:2 What business disputes should be mediated?
- § 28:3 At what stage in the litigation process should a case be mediated?
- § 28:4 General format of a mediation
- § 28:5 Preparation for mediation
- § 28:6 Selecting the right mediator for the case
- § 28:7 Use of case administrators
- § 28:8 Preliminary conference
- § 28:9 Who will attend the mediation?
- § 28:10 Mediation statements
- § 28:11 Introductions
- § 28:12 Opening statements
- § 28:13 Caucuses
- § 28:14 The role of the mediator
- § 28:15 Closing the gap
- § 28:16 Collateral benefits of mediation
- § 28:17 Mediation clauses
- § 28:18 Approaching one's adversary about mediation

### **CHAPTER 29. CONSTRUCTION MEDIATION**

#### **I. INTRODUCTION**

- § 29:1 Generally
- § 29:2 Mediation works well in the construction industry

#### **II. PREPARATION FOR MEDIATION**

- § 29:3 Preliminary preparation

- § 29:4 Who should attend the mediation sessions?
- § 29:5 Selecting the construction mediator
- § 29:6 What to expect at the construction mediation

### **III. A TYPICAL CONSTRUCTION DISPUTE**

- § 29:7 Example: factual background
- § 29:8 Example: issues to be resolved
- § 29:9 Example: the process

## **CHAPTER 30. ENVIRONMENTAL MEDIATION**

### **I. INTRODUCTION**

- § 30:1 Environmental mediation defined and distinguished
- § 30:2 Types of environmental mediation cases
- § 30:3 Policy dialogues
- § 30:4 Regulatory negotiation
- § 30:5 Site specific projects
- § 30:6 Settlement of environmental regulatory or other enforcement litigation

### **II. THE ENVIRONMENTAL MEDIATION PROCESS**

- § 30:7 Identifying the stakeholders and selecting representatives to attend the mediation sessions
- § 30:8 Defining the problem
- § 30:9 Commencing the process
- § 30:10 Accountability of parties
- § 30:11 Differing levels of expertise
- § 30:12 Different forms of power
- § 30:13 Commitment of time

### **III. STEPS AND TASKS OF THE MEDIATOR**

- § 30:14 In general
- § 30:15 The assessment phase
- § 30:16 Process design phase
- § 30:17 Negotiation phase
- § 30:18 Implementation of agreements

## TABLE OF CONTENTS

§ 30:19 —Within formal government structures

### **IV. FORMATS FOR ENVIRONMENTAL MEDIATION**

- § 30:20 In general
- § 30:21 Roundtables
- § 30:22 Team negotiation
- § 30:23 Workshop sessions
- § 30:24 Task groups

### **V. SPECIAL ISSUES TO CONSIDER IN ENVIRONMENTAL MEDIATION**

- § 30:25 The role of the media
- § 30:26 Keeping constituents informed
- § 30:27 Relating to the general public
- § 30:28 Obtaining adequate administrative support
- § 30:29 Handling technical information
- § 30:30 Working in the context of federal and state laws and regulations

### **VI. NEW APPLICATIONS FOR ENVIRONMENTAL MEDIATION**

- § 30:31 On-going collaboratives, consensus processes, and partnerships

## **CHAPTER 31. FAMILY LAW MEDIATION**

- § 31:1 Introduction
- § 31:2 What is family law mediation?
- § 31:3 Encouraging the client to mediate
- § 31:4 When is mediation appropriate?
- § 31:5 Power-balancing
- § 31:6 The attorney's role in divorce mediation
- § 31:7 Selecting the mediator
- § 31:8 Court-ordered mediation and conciliation in divorce actions
- § 31:9 The division of marital property
- § 31:10 Mediation of child-based disputes
- § 31:11 Court-ordered mediation involving custody and visitation issues
- § 31:12 Family court conciliation vs. private mediation

## **CHAPTER 32. MEDIATION OF INSURANCE AND PERSONAL INJURY DISPUTES**

### **I. INTRODUCTION**

- § 32:1 In general
- § 32:2 The early ADR system
- § 32:3 Early private mediation programs
- § 32:4 Success rates
- § 32:5 Advantages of tort mediation

### **II. CONCLUSION**

- § 32:6 Acceptance of ADR by insurers

## **CHAPTER 33. INTERNATIONAL MEDIATION AND CONCILIATION**

- § 33:1 Definitions and distinctions
- § 33:2 Asia/Pacific view of mediation and conciliation
- § 33:3 Islamic view of mediation and conciliation
- § 33:4 European views of mediation and conciliation
- § 33:5 United States' view on mediation and conciliation
- § 33:6 Mediation and conciliation in Africa
- § 33:7 Mediation and conciliation in Australia
- § 33:8 Mediation and conciliation in Latin America
- § 33:9 Model Mediation Procedures—ICC ADR Procedures
  - § 33:10 —ICDR Mediation
  - § 33:11 —LCIA Mediation
  - § 33:12 —UNCITRAL Conciliation Rules and Model Law on International Commercial Mediation
- § 33:13 Investor—State Mediation
- § 33:14 Model mediation procedures—World Intellectual Property Organization (WIPO)
- § 33:15 Implications of enforcement of agreements to mediate
- § 33:16 Enforcement of agreements reached by mediation: The Singapore Convention
- § 33:17 Internationally acknowledged principles of evidentiary incompetence of mediation communications

## TABLE OF CONTENTS

§ 33:18 Cross-cultural negotiations

## **CHAPTER 34. EMPLOYMENT MEDIATION**

### **I. INDIVIDUAL EMPLOYMENT DISPUTES**

- § 34:1 Typical disputes
- § 34:2 The decision to mediate
- § 34:3 Broaching the topic of settlement/mediation
- § 34:4 Selecting the mediator
- § 34:5 Establishing procedure
- § 34:6 Opening session and procedure
- § 34:7 Mediator's first private session with the plaintiff
- § 34:8 First session with employer representatives
- § 34:9 Further sessions
- § 34:10 Memorialization of any settlement
- § 34:11 Disputes with current employees
- § 34:12 Variations to the process

## **CHAPTER 35. MEDIATION OF SECURITIES DISPUTES**

### **I. INTRODUCTION**

- § 35:1 Options in securities disputes

### **II. PREPARING FOR BROKER-CUSTOMER MEDIATIONS**

- § 35:2 Knowing the case
- § 35:3 Developing a mediation strategy
- § 35:4 Exhibits and evidence

### **III. THE MEDIATION PROCEEDING**

- § 35:5 Joint sessions
- § 35:6 Private caucuses
- § 35:7 Closing joint session

## **PART IV. OTHER FORMS OF ALTERNATIVE DISPUTE RESOLUTION**

### **CHAPTER 36. DISPUTE REVIEW BOARDS**

#### **I. INTRODUCTION**

- § 36:1 The need for ADR in the construction industry
- § 36:2 The industry's response
- § 36:3 The definition of a dispute review board ("DRB")
- § 36:4 The history and uses of DRB
- § 36:5 Advantages
- § 36:6 The dispute resolution specialist ("DRS")
- § 36:7 How DRB compares to arbitration
- § 36:8 The DRB members

#### **II. THE DRB PROCESS**

- § 36:9 The first step: The agreement to have a DRB
- § 36:10 The second step: The selection of the DRB or DRS
- § 36:11 The third step: The DRB meeting
- § 36:12 The fourth step: The DRB hearing
- § 36:13 The use of experts
- § 36:14 Costs
- § 36:15 The attorney's role

#### **III. THE FUTURE OF DRBS**

- § 36:16 Why the use of DRBs is growing rapidly

### **CHAPTER 37. MED-ARB (MEDIATION- ARBITRATION)**

- § 37:1 Introduction
- § 37:2 Med-arb defined and distinguished
- § 37:3 The med-arb agreement
- § 37:4 Selecting the med-arbitrator
- § 37:5 The med-arb procedure
- § 37:6 Confidentiality and med-arb
- § 37:7 Legislative developments with the use of med-arb

## TABLE OF CONTENTS

- § 37:8 Variations on med-arb—Generally
- § 37:9 ——Arb-med
- § 37:10 ——Med-then-arb
- § 37:11 ——Shadow mediation
- § 37:12 ——Co-med-arb
- § 37:13 ——Med-rec
- § 37:14 ——Concilio-arbitration

# **CHAPTER 38. MINI-TRIALS AND SUMMARY JURY TRIALS**

## **I. INTRODUCTION**

- § 38:1 What is a “mini-trial”?
- § 38:2 Court-annexed variations and summary jury trials
- § 38:3 History and uses of the mini-trial
- § 38:4 Advantages and disadvantages
- § 38:5 When to use a mini-trial
- § 38:6 Timing
- § 38:7 Panel composition

## **II. THE PROCEDURE**

- § 38:8 The agreement
- § 38:9 Impact on pending litigation
- § 38:10 Termination
- § 38:11 Confidentiality
- § 38:12 Selection of the panel
- § 38:13 Cost allocation
- § 38:14 Discovery
- § 38:15 Prehearing exchange
- § 38:16 The hearing
- § 38:17 The negotiation
- § 38:18 Cooling-off period
- § 38:19 Checklist for mini-trial agreements

## **III. CONCLUSION**

- § 38:20 Consideration of the mini-trial option

## **CHAPTER 39. PARTNERING—NEW DIMENSIONS IN DISPUTE PREVENTION AND RESOLUTION**

### **I. INTRODUCTION**

- § 39:1 Generally
- § 39:2 A brief history of the development of partnering
- § 39:3 Partnering in government contracts/the corps

### **II. HOW PARTNERING WORKS**

- § 39:4 The agreement to partner

### **III. ELEMENTS OF PARTNERING**

- § 39:5 The partnering retreat
- § 39:6 Who participates?
- § 39:7 Retreat facilitator
- § 39:8 Team/skill-building
- § 39:9 Focus on project concerns
- § 39:10 Total quality management (TQM)
- § 39:11 Value engineering
- § 39:12 Dispute resolution design
- § 39:13 Issue escalation
- § 39:14 Third-party ADR
- § 39:15 Project charter (compact)

### **IV. PROSPECTS FOR PARTNERING**

- § 39:16 Generally

## **CHAPTER 40. PRIVATE JUDGING**

### **I. INTRODUCTION**

- § 40:1 Private judging as a form of ADR

### **II. REPRESENTATIVE JURISDICTIONS PERMITTING USE OF REFEREES AND PRIVATE JUDGES**

- § 40:2 Types of private judicial services

## TABLE OF CONTENTS

### **III. CHARACTERISTICS OF PRIVATE JUDGING**

- § 40:3 Advantages
- § 40:4 Disadvantages

## **CHAPTER 41. COLLABORATIVE LAW AND THE USE OF SETTLEMENT COUNSEL**

### **I. INTRODUCTION**

- § 41:1 Generally

### **II. COLLABORATIVE LAW**

- § 41:2 Origins of collaborative law
- § 41:3 Collaborative family law
- § 41:4 Comparison with mediation
- § 41:5 The collaborative law process
- § 41:6 Collaborative law as a paradigm shift
- § 41:7 What is different about collaborative law?
- § 41:8 The importance of collaborative law training
- § 41:9 Advantages of collaborative law
- § 41:10 Disadvantages of collaborative law
- § 41:11 Ethical issues
- § 41:12 The use of collaborative law in other practice areas

### **III. SETTLEMENT COUNSEL**

- § 41:13 Advantages and disadvantages of settlement counsel
- § 41:14 When to use settlement counsel

### **IV. CONCLUSION**

- § 41:15 Generally

## **CHAPTER 42. MANAGING FAMILY BUSINESS CONFLICT: A COLLABORATIVE APPROACH**

- § 42:1 Introduction
- § 42:2 Conflict or dispute?

## ADR PRACTICE GUIDE

- § 42:3 Why are family business conflicts so extreme?
- § 42:4 Why is conflict in a family business so difficult to manage?
- § 42:5 Identifying the underlying reasons for conflict
- § 42:6 Further complicating factors
- § 42:7 Identifying the trigger for conflict: the role of power
- § 42:8 The family factor
- § 42:9 Matching conflict factors with management resources
- § 42:10 Existing methods of conflict management
- § 42:11 Power based approaches (litigation, arbitration)
- § 42:12 Bargaining based approaches (negotiation, mediation, collaborative law)
- § 42:13 Development based approaches (consulting, coaching, therapy)
- § 42:14 A collaborative, multidisciplinary approach
- § 42:15 Conclusion

## Volume 2

### APPENDICES

- APPENDIX II-1. Uniform Arbitration Act
- APPENDIX II-2. State Arbitration Statutes
- APPENDIX II-3. Commercial Arbitration Rules and Mediation Procedures
- APPENDIX II-4. Code of Arbitration Procedure
- APPENDIX II-5. Sample Standard Predispute Agreement
- APPENDIX II-6. Commercial Arbitration Rules  
Demand for Arbitration
- APPENDIX II-7. Sample Ad Hoc Arbitration Clause
- APPENDIX II-8. Sample Arbitration Discovery  
Clausles
- APPENDIX II-9. Sample Applicable Law Clauses
- APPENDIX II-10. Sample Remedies Clauses
- APPENDIX II-11. Sample Clauses for the Basis for the Award
- APPENDIX II-12. FINRA Arbitration Submission Agreement

TABLE OF CONTENTS

- APPENDIX II-13. Revised Uniform Arbitration Act
- APPENDIX II-14. Sample Arbitration Submission Agreement
- APPENDIX II-15. Sample Construction Arbitration Clauses
- APPENDIX II-16. Construction Industry Arbitration Rules and Mediation Procedures (Including Procedures for Large, Complex Construction Disputes)
- APPENDIX II-17. *[Reserved]*
- APPENDIX II-18. *[Reserved]*
- APPENDIX II-19A. *[Reserved]*
- APPENDIX II-20. Sample Employee Problems and Complaints Dispute Settlement Procedure
- APPENDIX II-21. *[Reserved]*
- APPENDIX II-22. Sample Employee Acknowledgment of Receipt of Handbook
- APPENDIX II-23. Employment Arbitration Rules and Mediation Procedures
- APPENDIX II-23A. *[Reserved]*
- APPENDIX II-24. *[Reserved]*
- APPENDIX II-25. ICC Arbitration Rules and Mediation Rules
- APPENDIX II-25A. *[Reserved]*
- APPENDIX II-26. UNCITRAL Arbitration Rules
- APPENDIX II-27. ICDR International Dispute Resolution Procedures (Including Mediation and Arbitration Rules)
- APPENDIX II-28. Sample Arbitration Clause [Loan]
- APPENDIX II-29. Sample Conventional Arbitration Clause [Lease]
- APPENDIX II-30. Sample Baseball Arbitration Clause [Lease]
- APPENDIX II-31. Compromise Award [Lease]
- APPENDIX II-32. Sample Arbitration Clause [Title Insurance Policies]
- APPENDIX II-33. Sample Arbitration Clause [Purchase Agreement]

ADR PRACTICE GUIDE

APPENDIX II-34. United States Code Annotated—Title 9. Arbitration—Chapter 1—General Provisions

APPENDIX II-35. American Arbitration Association—The Code of Ethics for Arbitrators in Commercial Disputes

APPENDIX II-36. JAMS Comprehensive Arbitration Rules & Procedures

APPENDIX II-36B. *[Reserved]*

APPENDIX II-37. *[Reserved]*

APPENDIX II-38. Real Estate Industry Arbitration Rules (Including a Mediation Alternative)

APPENDIX II-39. CPR Rules for Administered Arbitration of International Disputes

APPENDIX II-40. Rules for Uniform Domain Name Dispute Resolution Policy (the “Rules”)

APPENDIX II-41. ICANN Uniform Domain Name Dispute Resolution Policy

APPENDIX II-42. *[Reserved]*

APPENDIX II-43. *[Reserved]*

APPENDIX II-44. Supplementary Rules for Class Arbitrations

APPENDIX II-45. JAMS Class Action Procedures

APPENDIX II-46. AAA—Consumer Due Process Protocol: Statement of Principles of the National Consumer Disputes Advisory Committee

APPENDIX II-47. AAA Mass Arbitration Supplementary Rules

APPENDIX II-48. JAMS Mass Arbitration Procedures and Guidelines

APPENDIX III-1. Sample Predispute Mediation Clause

APPENDIX III-2. American Arbitration Association Commercial Mediation Rules (see Appendix II-3)

APPENDIX III-3. AAA Request for Mediation Form

TABLE OF CONTENTS

APPENDIX III-4.	Stipulation and Order re Mediation Process
APPENDIX III-5.	Mediation Confidentiality Agreement
APPENDIX III-6.	Sample Agreement to Mediate
APPENDIX III-7.	Model Agreement to use Respectful Communication Agreement
APPENDIX III-8.	Uniform Mediation Act
APPENDIX IV-1.	Sample Contract Specifications for an American Arbitration Association Dispute Review Board
APPENDIX IV-2.	Submission to Dispute Resolution
APPENDIX IV-3.	American Arbitration Association Request for a DRB or DRS
APPENDIX IV-4.	MED-ARB Agreement
APPENDIX IV-5.	Med-Then-Arb Agreement
APPENDIX IV-6.	Sample Mini-Trial & Partnering Clauses
APPENDIX IV-7.	Sample Partnering Agreement
APPENDIX IV-8.	Sample Partnering Agreement—U.S. Army Corps of Engineers
APPENDIX IV-9.	Sample Partnering Language—Project Specifications and Contract Clauses
APPENDIX IV-10.	Collaborative Family Law Participation Agreement

**Table of Laws and Rules**

**Table of Cases**

**Index**