

# **Table of Contents**

## **PART I. MEDIATION**

### **CHAPTER 1. MEDIATION DEFINED**

- § 1:1 Generally
- § 1:2 Definition of mediation
- § 1:3 Mandatory mediation
- § 1:4 Conciliation compared
- § 1:5 Advantages of mediation over litigation
- § 1:6 Advantages of mediation over negotiation

### **CHAPTER 2. THE MEDIATOR'S PERSPECTIVE**

- § 2:1 The role of the mediator
- § 2:2 Mediator preparation
- § 2:3 Mediation attendance
- § 2:4 Mediator's opening statements
- § 2:5 Techniques in mediation—Generally
- § 2:6 —Procedural techniques
- § 2:7 —Communication techniques
- § 2:8 —Substantive techniques
- § 2:9 Mediator qualifications
- § 2:10 Mediator immunity

### **CHAPTER 3. THE PARTICIPANTS' PERSPECTIVE**

- § 3:1 Initiating the mediation process
- § 3:2 Preparing to mediate
- § 3:3 Selecting a mediator
- § 3:4 Agreements to submit to mediation
- § 3:5 Pre-dispute mediation agreements
- § 3:6 The mediation participants
- § 3:7 Submitting briefs

### **CHAPTER 4. THE MEDIATION PROCESS**

- § 4:1 The format of the mediation—Generally
- § 4:2 —Pre-mediation conference
- § 4:3 —Joint sessions
- § 4:4 —Private caucus sessions

- § 4:5 Settlement agreements
- § 4:6 Post-mediation conduct

## **CHAPTER 5. CONFIDENTIALITY OF MEDIATION**

- § 5:1 Generally
- § 5:2 Mediation confidentiality statute
- § 5:3 Contractual protection: confidentiality agreements
- § 5:4 Confidentiality under Federal Rule of Evidence 408
- § 5:5 Confidentiality under Federal Rule of Evidence 501

## **CHAPTER 6. ETHICAL CONSIDERATIONS FOR MEDIATORS**

- § 6:1 Ethical considerations—Generally
- § 6:2 —Conflict of interest
- § 6:3 —Power imbalances
- § 6:4 —Duty to disclose

## **CHAPTER 7. MEDIATION OF DOMESTIC DISPUTES**

- § 7:1 Mediation over litigation of domestic disputes
- § 7:2 Mediation of domestic disputes—Generally
- § 7:3 Divorce mediation
- § 7:4 The attorney's role in the mediation of domestic disputes
- § 7:5 Ethical considerations

## **CHAPTER 7A. MEDIATION FEES**

- § 7A:1 In general
- § 7A:2 Forms

## **CHAPTER 8. MEDIATION FORMS**

- § 8:1 Negotiations clause—Correspondence followed by meeting
- § 8:2 —Meeting between senior executives
- § 8:3 —Meeting between managers with resort to senior executives
- § 8:4 Sample mediation agreement
- § 8:5 Sample agreement to submit to mediation
- § 8:6 —Another form
- § 8:7 Submission to mediation
- § 8:8 —AAA form
- § 8:9 Mediation agreement

## TABLE OF CONTENTS

§ 8:10	Pre-suit mediation agreement
§ 8:11	Request for mediation
§ 8:12	Mediation clause
§ 8:13	—Another form
§ 8:14	Sample mediation rules
§ 8:15	American Arbitration Association Construction Industry Mediation Rules
§ 8:16	Health care disputes—Request for mediation
§ 8:17	American Arbitration Association Family Mediation Rules
§ 8:18	Sample pre-dispute mediation clause
§ 8:19	Sample mediation clause
§ 8:20	—Construction dispute
§ 8:21	Grievance mediation agreement for labor and employment dispute
§ 8:22	Sample grievance mediation agreement for labor and employment dispute
§ 8:23	Sample case outline
§ 8:24	Sample mediation attendance form
§ 8:25	Sample mediator's report
§ 8:26	Sample release
§ 8:27	Sample confidentiality agreement
§ 8:28	Confidentiality agreement (AAA form)
§ 8:29	Confidentiality provisions—Comprehensive form
§ 8:30	Confidentiality provision—Short form
§ 8:31	Confidentiality agreement by mediator
§ 8:32	Sample mediation agreement and rules—Family disputes
§ 8:33	Sample financial data sheet—Divorce mediation
§ 8:34	Sample status report—Divorce mediation
§ 8:35	Sample mediation rules
§ 8:36	Sample parent-guardian release and indemnity agreement
§ 8:37	Statement of agreement or nonagreement
§ 8:38	Mediation and structured settlement conferences, settlement agreement
§ 8:39	Stipulated dismissal
§ 8:40	Memorandum of settlement
§ 8:41	Uniform Mediation Act

## PART II. ARBITRATION

### CHAPTER 9. ARBITRATION: AN OVERVIEW

§ 9:1	Introduction to arbitration
-------	-----------------------------

- § 9:2 Definition of arbitration
- § 9:3 Agreements to arbitrate under the common law—  
Background
- § 9:4 Enactment of the Uniform Arbitration Act in  
Massachusetts
- § 9:5 The tailor-made forum
- § 9:6 Advantages of arbitration over litigation
- § 9:7 Disadvantages of arbitration over litigation
- § 9:8 Arbitrators' authority to award exemplary damages
- § 9:9 Arbitrators' authority to award fees and expenses
- § 9:10 Title VII claims and binding arbitration decisions
- § 9:11 Arbitration and class action
- § 9:12 Collective bargaining agreements, & labor/employment  
disputes
- § 9:13 Transportation Workers Under the FAA
- § 9:14 Coexistence of arbitration and litigation
- § 9:15 The effects of economics on arbitration

## **CHAPTER 10. AGREEMENTS TO ARBITRATE**

- § 10:1 Agreements to arbitrate and the scope of the  
Massachusetts statute
- § 10:2 Validity and enforceability of arbitration agreements
- § 10:3 —Clickwraps and browserwraps (internet agreements)
- § 10:4 Nonsignatory parties, third party beneficiaries, and  
agency theory
- § 10:5 Fraud in the inducement
- § 10:6 “Condition precedent” language
- § 10:7 Parties aggrieved by the failure or refusal of another  
to arbitrate
- § 10:8 Collateral estoppel and res judicata

## **CHAPTER 11. EFFECT OF AGREEMENTS TO ARBITRATE**

- § 11:1 Waiver of arbitration proceedings in the first instance
- § 11:2 Stay pending arbitration
- § 11:3 Prayers in application for stay
- § 11:4 Consolidation or severance of arbitration proceedings

## **CHAPTER 12. PARTIES' PREPARATION AND STRATEGY**

- § 12:1 Initiating arbitration
- § 12:2 Selection of the arbitrator—Three member panel or  
single arbitrator?

## TABLE OF CONTENTS

§ 12:3	Pre-arbitration discovery
§ 12:4	Witnesses
§ 12:5	The filing of briefs
§ 12:6	Procedure at arbitration
§ 12:7	Opening statement
§ 12:8	Rules of evidence
§ 12:9	Disputed evidence
§ 12:10	Closing arguments
§ 12:12	Arbitration fees <i>[Deleted]</i>

## CHAPTER 13. ARBITRATORS

§ 13:1	Arbitrators—In general
§ 13:2	Appointment of arbitrators
§ 13:3	Powers of arbitrators
§ 13:4	Interpretation of arbitration rules
§ 13:5	Arbitrators as appraisers
§ 13:6	Arbitrator immunity

## CHAPTER 14. ARBITRATION PROCEEDINGS

§ 14:1	Hearings
§ 14:2	Notice
§ 14:3	Postponements or continuances
§ 14:4	Waiver of procedure
§ 14:5	Waiver of a prior award
§ 14:6	Waiver of further hearings
§ 14:7	Priority of written and parol arbitration agreements
§ 14:8	Inferences and presumptions
§ 14:9	Death of a party
§ 14:10	Representation by counsel

## CHAPTER 15. DISCOVERY AND EVIDENCE

§ 15:1	Subpoenas
§ 15:2	Subpoena, general form
§ 15:3	Production of documents

## CHAPTER 16. ARBITRATOR'S AWARD

§ 16:1	The arbitrator's award—In general
§ 16:2	Arbitrators—Awards made by a majority
§ 16:3	Modification by the arbitrator of an arbitrator's award
§ 16:4	Costs and expenses of arbitration
§ 16:5	Counsel fees
§ 16:6	Confirmation of an arbitrator's award by the court

## **CHAPTER 17. RELIEF FROM ARBITRATOR'S AWARD**

- § 17:1 Introduction
- § 17:2 Vacation of an arbitrator's award—In general
- § 17:3 Impartiality of the arbitrator—In general
- § 17:4 —Notice and failure to object
- § 17:5 Fraud, corruption, misconduct of arbitrators
- § 17:6 Errors of law or fact
- § 17:7 Awards in excess of powers
- § 17:8 Modification by the court of an arbitrator's award
- § 17:9 Judgment or decree confirming, modifying, or correcting an arbitrator's award
- § 17:10 Applications to the court
- § 17:11 Definition of "court" and its jurisdiction
- § 17:12 Venue
- § 17:13 Appeals
- § 17:14 Uniformity of interpretation
- § 17:15 Burden of proof

## **CHAPTER 18. CHOOSING THE RIGHT FORUM**

- § 18:1 Resolution
- § 18:2 Whose law applies?
- § 18:3 Conflicts between the Federal Arbitration Act (FAA) and the Massachusetts Uniform Arbitration Act
- § 18:4 ADR Court services

## **CHAPTER 19. FORMS**

### **A. CLAUSES, AGREEMENTS, APPLICATIONS, LETTERS, MOTIONS, AND FORMS, GENERALLY**

- § 19:1 Commercial arbitration agreements
- § 19:2 Commercial arbitration agreement—Another form
- § 19:3 —Another form
- § 19:4 Arbitration clause in a construction contract
- § 19:5 —Another form
- § 19:6 Arbitration clause in construction agreement
- § 19:7 —Another form
- § 19:8 Contractor-subcontractor arbitration clause
- § 19:9 Arbitration clause in construction sub-contract
- § 19:10 Arbitration clause in service contract
- § 19:11 Arbitration clause in a sales agreement
- § 19:12 Arbitration clause in sales contract

## TABLE OF CONTENTS

§ 19:13	Arbitration clause in an agreement for the sale and development of real estate
§ 19:14	Arbitration agreement incorporating arbitration rules by reference
§ 19:15	—Another form
§ 19:16	Issues to be arbitrated—Broad form
§ 19:17	—Limited scope
§ 19:18	—Specific exception from broad form submission
§ 19:19	Agreement to arbitrate after unsuccessful mediation
§ 19:20	Arbitration clause in a stockholders agreement
§ 19:21	Arbitration clause in a lease
§ 19:22	Arbitration clause in an employment agreement
§ 19:23	Arbitration clause in franchise agreement
§ 19:24	Arbitration clause in government subcontract
§ 19:25	Arbitration clause in partnership agreement
§ 19:26	Arbitration clause in consulting agreement
§ 19:27	Demand for arbitration—Motor vehicle accident
§ 19:28	Stipulation for arbitration of existing dispute
§ 19:29	Submission agreement
§ 19:30	—Another form
§ 19:31	—Another form
§ 19:32	—Another form
§ 19:33	—Another form
§ 19:34	—Another form
§ 19:35	—Another form
§ 19:36	—Another form
§ 19:37	—Contracts
§ 19:38	Submission of lease dispute
§ 19:39	Recital as to ownership of land
§ 19:40	Submission of dispute arising out of partnership affairs
§ 19:41	—Another form
§ 19:42	—Another form
§ 19:43	Submission agreement—Quality of goods
§ 19:44	— —Another form
§ 19:45	—Division of estate
§ 19:46	Controversy over account
§ 19:47	Deposit of security
§ 19:48	—Another form
§ 19:49	Stay of pending action
§ 19:50	—Another form
§ 19:51	Agreement to submit to arbitration (automobile accidents)
§ 19:52	Agreement to submit to arbitration

- § 19:53 Application to compel arbitration pursuant to  
M.G.L.A. c. 251, § 1
- § 19:54 Application of the claimant for the appointment of  
an arbitrator pursuant to M.G.L.A. c. 251, § 3
- § 19:55 High low agreement (agreement to submit to  
arbitration)
- § 19:56 High low agreement (demand for arbitration)
- § 19:57 Contract clause providing for initiation of  
arbitration
- § 19:58 Demand letter
- § 19:59 Case outline
- § 19:60 Accident Claims Tribunal Rules of the American  
Arbitration Association
- § 19:61 Voluntary labor arbitration rules
- § 19:62 Award of arbitrator
- § 19:63 Award of arbitrators—Another form
- § 19:64 —General
- § 19:65 Award on demand and counterclaim
- § 19:66 Motion to dismiss claim for arbitration for failure to  
comply with policy provisions
- § 19:67 Motion of the insurer to reduce any judgment that  
may enter for the claimant
- § 19:68 Motion to proceed with arbitration
- § 19:69 Provision for stay of pending action
- § 19:70 Motion for stay of court action pending arbitration
- § 19:71 Stay without discontinuing pending suit
- § 19:72 Motion for stay of arbitration
- § 19:73 Motion or application for stay of arbitration  
proceedings
- § 19:74 Motion to consolidate arbitration actions
- § 19:75 Clause naming a single arbitrator
- § 19:76 Clause naming single arbitrator
- § 19:77 Clause naming the arbitrators
- § 19:78 Provision for appointment of a third arbitrator
- § 19:79 Clause providing for single or three-member panel
- § 19:80 Appointment of successor arbitrator
- § 19:81 Clause providing for single neutral to be designated  
by appointing agency
- § 19:82 Clause providing for the naming of arbitrators by a  
designated agency
- § 19:83 Clause providing for three-member panel including  
non-neutrals
- § 19:84 Clause providing for panel of arbitrators—All  
neutrals
- § 19:85 Clause providing for three-member panel chosen by  
appointing agency



## TABLE OF CONTENTS

§ 19:86	Clause providing for appointment of third arbitrator
§ 19:87	Appointment of third arbitrator by two others
§ 19:88	Clause providing for an umpire
§ 19:89	Agreement for selection of two arbitrators and in case of deadlock for the selection of umpire
§ 19:90	Provision that umpire may make award where arbitrators fail to act
§ 19:91	Appointment of umpire by endorsement on submission
§ 19:92	Appointment of umpire where arbitrators fail to agree
§ 19:93	Clause providing restrictions on selection
§ 19:94	Clause specifying expert qualifications
§ 19:95	Clause providing that arbitrators may be sworn
§ 19:96	Arbitrator's consent to fee arrangement
§ 19:97	Clause providing that arbitrators must be sworn
§ 19:98	Clause relating to powers of arbitrators
§ 19:99	General clause
§ 19:100	Clause permitting retention of experts
§ 19:101	Clause permitting employment of accountant
§ 19:102	Clause authorizing employment of attorneys or accountants
§ 19:103	Clause prohibiting modification of terms of agreement
§ 19:104	Power of arbitrators to order execution of releases
§ 19:105	Power of arbitrators to consult legal counsel
§ 19:106	Provision for place of hearing and consent to jurisdiction
§ 19:107	Provision that judgment may be entered on award
§ 19:108	Provision for place of hearing
§ 19:109	Stipulation as to notice of hearing
§ 19:110	Notice of time and place of hearing
§ 19:111	Provision for prehearing conference
§ 19:112	Clause providing for security deposit for award
§ 19:113	Provision for making record
§ 19:114	Clause regarding attendance at hearings
§ 19:115	Clause regarding adjournments
§ 19:116	Notice of intention to arbitrate
§ 19:117	Clause agreeing to arbitrate after death of a party
§ 19:118	Provision as to effect of death of a party
§ 19:119	Clause as to taking affidavits and documents as evidence
§ 19:120	Clause providing for discovery—Incorporation of arbitration rules by reference—Modified for discovery

- § 19:121 Clause permitting discovery—Discretionary with arbitrator
- § 19:122 —Specific limitation
- § 19:123 —Discretionary guidelines
- § 19:124 Clause providing for right to inspect books
- § 19:125 Subpoena re deposition
- § 19:126 Application for subpoena
- § 19:127 Application for subpoena duces tecum
- § 19:128 Subpoena duces tecum
- § 19:129 Clause providing for application of liberal rules of evidence
- § 19:130 Clause providing for application of state rules of evidence
- § 19:131 Clause regarding applicability of court rules of evidence
- § 19:132 Clause providing for examination of parties and witnesses
- § 19:133 Clause concerning examination of premises
- § 19:134 Clause regarding admissibility of affidavits
- § 19:135 —Another form
- § 19:136 Filing of briefs
- § 19:137 Expenses of arbitration
- § 19:138 Clause providing for apportionment of expenses
- § 19:139 Instructions to arbitrator as to timeliness
- § 19:140 Clause providing time limit for award
- § 19:141 Clause providing specific date for making award
- § 19:142 Clause providing for time extension for award
- § 19:143 Agreement to extend time for filing award
- § 19:144 Clause providing for finality of award
- § 19:145 —Another form
- § 19:146 Application to the court to fix time of award
- § 19:147 Clause requiring findings of fact
- § 19:148 Arbitration award
- § 19:149 —Another form
- § 19:150 —Another form
- § 19:151 —Another form
- § 19:152 Arbitration award by panel of arbitrators
- § 19:153 Arbitration award on demand and counter-claim
- § 19:154 Arbitration award on demand and counterclaim—  
Another form
- § 19:155 Arbitration award—Goods sold and delivered
- § 19:156 Clause limiting award of punitive damages
- § 19:157 Clause providing for attorney fees
- § 19:158 Clause providing attorney fees—Another form
- § 19:159 Stipulation as to fees of arbitrators

## TABLE OF CONTENTS

§ 19:160	Clause apportioning costs of arbitration
§ 19:161	Clause providing damages for inconvenience and delay
§ 19:162	Clause providing for fees and costs—Arbitrator's fees split
§ 19:163	Clause providing fees and costs awardable by arbitrator
§ 19:164	Clause providing for costs awardable by arbitrator
§ 19:165	Clause as to apportionment of expenses
§ 19:166	Clause permitting grant of injunctive relief
§ 19:167	Clause permitting grant of preliminary relief
§ 19:168	Clause providing for service of award
§ 19:169	Application to arbitrator for correction of award
§ 19:170	—Another form
§ 19:171	—Another form
§ 19:172	—Another form
§ 19:173	—Another form
§ 19:174	Objection to application for correction of award
§ 19:175	Motion to correct award—Another form
§ 19:176	Ruling of arbitrator on application to modify award
§ 19:177	—Another form
§ 19:178	Modified award
§ 19:179	Motion to modify award
§ 19:180	Motion to correct and modify award
§ 19:181	Answer to motion to modify award
§ 19:182	Motion to correct clerical error
§ 19:183	Motion to confirm arbitration award and for judgment
§ 19:184	—Another form
§ 19:185	Motion to confirm labor arbitration award and for judgment
§ 19:186	Motion to vacate arbitration award procured by fraud
§ 19:187	Motion to vacate—Fraud and misconduct of party

## **B. AMERICAN ARBITRATION ASSOCIATION (AAA) FORMS**

§ 19:188	Motion to vacate—Fraud and misconduct of party—Arbitration Rules (Demand for Arbitration)
§ 19:189	Employment Arbitration Rules (Demand for Arbitration)
§ 19:190	Labor Arbitration Rules (Demand for Arbitration)
§ 19:191	Labor Arbitration Rules (Submission to Arbitration)
§ 19:192	Commercial Arbitration Rules (Demand for Arbitration)

- § 19:193 Submission for Non-binding Business & Consumer Arbitration
- § 19:194 Arbitration (Answering Statement and Counterclaim Request)
- § 19:195 Request for Mediation
- § 19:196 Submission to Mediation
- § 19:197 Submission to Dispute Resolution
- § 19:198 Disaster Recovery Claims Resolution Services Mediation Submission Form

## APPENDICES

- Appendix A. Massachusetts Mediation Statutes
- Appendix B. Federal Statutes and Rules for Mediation
- Appendix C. Ethical Provisions for Mediators
- Appendix D. Commercial Arbitration Rules and Mediation Procedures
- Appendix E. Construction Industry Arbitration Rules and Mediation Procedures
- Appendix F. The Massachusetts Uniform Arbitration Act, Massachusetts General Laws Annotated, Chapter 251
- Appendix G. The Uniform Arbitration Act (UAA)
- Appendix H. Federal Arbitration Act
- Appendix I. Code of Ethics for Arbitrators in Commercial Disputes
- Appendix J. Title 28, United States Code Annotated, Judiciary and Judicial Procedure, Chapter 44—Alternative Dispute Resolution (§§ 651–658)
- Appendix K. Federal Rule of Civil Procedure, Rule 8(c); General Rules of Pleading
- Appendix L. Employment Arbitration Rules and Mediation Procedures
- Appendix M. Disaster Recovery Claims Mediation Procedures
- Appendix N. Federal Mediation and Conciliation Service Policies and Procedures
- Appendix O. S.J.C. Rule 1:18 Uniform Rules on Dispute Resolution
- Appendix P. Summary—Supreme Judicial Court Rule 1:18 Uniform Rules on Dispute Resolution
- Appendix Q. Sample Mediator’s Opening Statement

## TABLE OF CONTENTS

Appendix R.	Workers' Compensation Arbitration Rules
Appendix S.	Workers' Compensation Agreement to Submit to Arbitration
Appendix T.	Consumer-Related Disputes Supplementary Procedures

### **Table of Laws and Rules**

### **Table of Cases**

### **Index**