

Table of Contents

CHAPTER 1. OVERVIEW OF ALTERNATIVE DISPUTE RESOLUTION TECHNIQUES

| | |
|--------|---|
| § 1:1 | Introduction |
| § 1:2 | An overview of ADR techniques |
| § 1:3 | —Common ADR techniques—Negotiation |
| § 1:4 | — —“Classic” mediation |
| § 1:5 | — —Evaluative mediation |
| § 1:6 | — —Nonbinding arbitration |
| § 1:7 | — —Binding arbitration |
| § 1:8 | — —“Baseball” or “final-offer” arbitration |
| § 1:9 | — —“Med-arb” |
| § 1:10 | — —Mini-Trial |
| § 1:11 | — —“Against the box” mediation |
| § 1:12 | — —Neutral factfinder |
| § 1:13 | — —Expert examination |
| § 1:14 | — —Ombuds programs |
| § 1:15 | — —Advisory opinions/moderated settlement conference/early neutral evaluation |
| § 1:16 | — —Summary jury trial |
| § 1:17 | — —Binding hi-low summary jury trial |
| § 1:18 | — —Rent-a-judge/“private judging” |
| § 1:19 | —Neutral as consulting architect for the ADR process |
| § 1:20 | —Changing horses in midstream: when to change techniques |
| § 1:21 | — —Negotiation hybrids: providing for discovery |
| § 1:22 | — —Mediation-arbitration hybrids: resolving ambiguous facts |
| § 1:23 | — —Arbitration hybrids: the need to arbitrate |
| § 1:24 | —Other methods to discourage litigation |
| § 1:25 | — —Escalation clause |
| § 1:26 | — —Cooling-off period |
| § 1:27 | — —“Least favored choice of forum” clause |
| § 1:28 | — —Good faith meetings |
| § 1:29 | — —Payment of costs/“last best offer” |
| § 1:30 | — —Dispute avoidance |
| § 1:31 | Matching the procedure to the case |
| § 1:32 | —ADR or litigation? |
| § 1:33 | —Personnel considerations in evaluating the ADR option |
| § 1:34 | Drafting the ADR clause or agreement |

ALTERNATIVE DISPUTE RESOLUTION TECHNIQUES

- § 1:35 —Combining arbitration with other forms of ADR
- § 1:36 — —The context is important
- § 1:37 — —The dance is important
- § 1:38 — —Play the odds
- § 1:39 —Using an arbitration clause in forms
- § 1:40 — —Contract formation
- § 1:41 — —Novation
- § 1:42 — —Enforcing the unsigned arbitration agreement
- § 1:43 — —The battle of the forms
- § 1:44 — —Statute of frauds
- § 1:45 —The scope of the arbitration clause
- § 1:46 — —The general position of the courts
- § 1:47 — —Arbitrability
- § 1:48 — —What about the fraud in the inducement claim?
- § 1:49 — —Is the clause in question broad or narrow?
- § 1:50 —Who is bound by the arbitration clause?
- § 1:51 —What about an option to arbitrate?
- § 1:52 —The content of the arbitration clause
- § 1:53 — —The place of the arbitration
- § 1:54 — —Number of arbitrators
- § 1:55 — —All the disputes or just some for arbitration?
- § 1:56 — —Method of selection of the arbitrators
- § 1:57 — —Discovery
- § 1:58 — —The standard of judicial review
- § 1:59 —An arbitration submission agreement
- § 1:60 Conclusion

Appendix 1-A. Sample ADR Clauses for a Variety of Transactions

CHAPTER 2. COMMERCIAL ARBITRATION

- § 2:1 Introduction
- § 2:2 Arbitration versus litigation introduction—
Advantages and disadvantages
- § 2:3 —Cost
- § 2:4 —Time
- § 2:5 —Legal and equitable merits
- § 2:6 —The selection of the arbitrator
- § 2:7 —Publicity
- § 2:8 —Evidentiary rules
- § 2:9 —Financial concerns
- § 2:10 The arbitration process
- § 2:11 —Some initial considerations
- § 2:12 — —New or existing disputes
- § 2:13 — —Consolidation
- § 2:14 — —The use of lawyers
- § 2:15 —The demand

TABLE OF CONTENTS

| | |
|--------|--|
| § 2:16 | —The answer |
| § 2:17 | —Counterclaims |
| § 2:18 | —Appointment of arbitrators |
| § 2:19 | —Prehearing concerns |
| § 2:20 | — —Prehearing discovery |
| § 2:21 | — —Subpoenas |
| § 2:22 | —The hearing |
| § 2:23 | — —The opening statement |
| § 2:24 | — —Presenting the evidence |
| § 2:25 | — —Closing statement |
| § 2:26 | — —Failure of a party to appear at a hearing |
| § 2:27 | —Termination |
| § 2:28 | —The award |
| § 2:29 | —American Arbitration Association’s expedited procedures |
| § 2:30 | Drafting an arbitration clause |
| § 2:31 | —Location |
| § 2:32 | —Choice of law |
| § 2:33 | —Scope of coverage |
| § 2:34 | — —Multiple agreements |
| § 2:35 | — —Integration clause |
| § 2:36 | —Arbitrator issues—Number of arbitrators |
| § 2:37 | — —Selection of arbitrators |
| § 2:38 | — —Arbitrator qualifications |
| § 2:39 | —Alternative arbitrator |
| § 2:40 | —Discovery |
| § 2:41 | —Scheduling |
| § 2:42 | —Evidentiary/procedural considerations |
| § 2:43 | —Costs |
| § 2:44 | —Remedies |
| § 2:45 | —Finality |
| § 2:46 | Enforcement of arbitration agreements—Background |
| § 2:47 | —Compelling arbitration |
| § 2:48 | — —Jurisdiction |
| § 2:49 | —Stay of judicial proceedings |
| § 2:50 | —Electronic agreements |
| § 2:51 | — —Phone applications |
| § 2:52 | — —Change-of-terms provision |
| § 2:53 | —Appealing a court’s arbitrability decision |
| § 2:54 | — —Stay pending appeal |
| § 2:55 | —Preemption |
| § 2:56 | —Class arbitration |
| § 2:57 | — —Notice |
| § 2:58 | —Subject matter of the arbitration agreement |
| § 2:59 | —Fraud in the inducement |
| § 2:60 | —Unconscionability |

ALTERNATIVE DISPUTE RESOLUTION TECHNIQUES

- § 2:61 —Severability
- § 2:62 —Survival clause
- § 2:63 —Waiver
- § 2:64 —Unilateral arbitration agreements
- § 2:65 —Illusory agreements
- § 2:66 —Nonsignatory parties
- § 2:67 — —Assumption
- § 2:68 — —Agency
- § 2:69 — —Third-party beneficiary
- § 2:70 — —Estoppel
- § 2:71 — —Incorporation by reference
- § 2:72 — —Collateral agreements
- § 2:73 — —Assignment
- § 2:74 — —Piercing the corporate veil/alter ego
- § 2:75 —Bankruptcy
- § 2:76 —Commercial forms
- § 2:77 — —Enforcing the unsigned arbitration agreement
- § 2:78 — —The battle of the forms
- § 2:79 — — —Course of dealing and industry practice
- § 2:80 —Other types of claims
- § 2:81 — —Antitrust claims
- § 2:82 — —Securities claims
- § 2:83 — —RICO claims
- § 2:84 — —Intellectual property claims
- § 2:85 — —Labor and employment claims
- § 2:86 — —Consumer credit
- § 2:87 The arbitration award in the courts
- § 2:88 —Enforcing an arbitration award
- § 2:89 — —Confirming, modifying, or vacating an award
- § 2:90 — —Jurisdiction
- § 2:91 — —Scope of judicial review
- § 2:92 —Concerns about the arbitrator
- § 2:93 — —Award exceeds arbitrator's power
- § 2:94 — —Arbitrator bias
- § 2:95 — — —Neutral arbitrator
- § 2:96 — — —Party-appointed arbitrator
- § 2:97 — —Arbitrator misconduct
- § 2:98 — —The California ethics rules
- § 2:99 —Types of relief—Damage limitations in contracts
- § 2:100 — —Punitive damages
- § 2:101 — —Attorney's fees
- § 2:102 — —Injunctive relief
- § 2:103 —Preclusive effects of arbitration
- § 2:104 —The public policy exception
- § 2:105 The Uniform Arbitration Act

Appendix 2-A. Selected Provisions of the United States

TABLE OF CONTENTS

(Federal) Arbitration Act, 9 U.S.C.A. §§ 1 to
9

Appendix 2-B. American Arbitration Association's Commercial
Arbitration Rules (Including Procedures for
Large, Complex Commercial Disputes)

**CHAPTER 3. EXECUTIVE SUMMARIES OF
ALTERNATIVE DISPUTE RESOLUTION
ISSUES**

| | |
|--------|--|
| § 3:1 | Introduction |
| § 3:2 | Alternative Dispute Resolution techniques for resolving commercial disputes—Generally |
| § 3:3 | —Negotiation |
| § 3:4 | —Arbitration |
| § 3:5 | —Mediation |
| § 3:6 | —Med-Arb |
| § 3:7 | —The mini-Trial |
| § 3:8 | —Court-assisted ADR |
| § 3:9 | —Rent-a-judge |
| § 3:10 | —The escalation clause |
| § 3:11 | —The cooling-off period |
| § 3:12 | —The “Least Favored Choice of Forum” clause |
| § 3:13 | —Loser pays |
| § 3:14 | —Dispute avoidance |
| § 3:15 | —Class arbitration |
| § 3:16 | —Illustrative clause |
| § 3:17 | —Conclusion |
| § 3:18 | Commercial arbitration—Generally |
| § 3:19 | —How do you get into arbitration? |
| § 3:20 | —Pros and cons of arbitration—Cost |
| § 3:21 | — —Time |
| § 3:22 | — —Legal merits |
| § 3:23 | — —Equitable merits |
| § 3:24 | — —Complexity of the case |
| § 3:25 | — —Publicity |
| § 3:26 | — —Rules of evidence |
| § 3:27 | — —Financial capability of the parties |
| § 3:28 | — —Maintaining an ongoing business relationship |
| § 3:29 | —Arbitration clause |
| § 3:30 | — —Place of arbitration |
| § 3:31 | — —Choice of law |
| § 3:32 | — —Procedure and techniques |
| § 3:33 | — —Scope of coverage |
| § 3:34 | — —Arbitrator—Method of selection |
| § 3:35 | — —Number |
| § 3:36 | — —Evidentiary/procedural considerations |

- § 3:37 — —Discovery
- § 3:38 — —Standard of judicial review
- § 3:39 — —Costs
- § 3:40 — —Remedies
- § 3:41 — —Finality
- § 3:42 International arbitration—Generally
- § 3:43 — —Major arbitration systems—American Arbitration Association
- § 3:44 — —International Chamber of Commerce
- § 3:45 — —London Court of International Arbitration
- § 3:46 — —Stockholm Chamber of Commerce
- § 3:47 — —A Note on the UNCITRAL Arbitration Rules
- § 3:48 — —Ad Hoc Arbitration
- § 3:49 Arbitration of employment disputes—Generally
- § 3:50 — —Legal landscape
- § 3:51 — —Enforcement of arbitration clauses in employment documents
- § 3:52 — —Notice, acceptance, and agreement to terms
- § 3:53 — —Consideration
- § 3:54 — —Ambiguous provisions
- § 3:55 — —Optional agreements
- § 3:56 — —Unfairness, inducement, and adhesion contracts
- § 3:57 — —Scope of agreement; Claims covered
- § 3:58 — —Fees and costs
- § 3:59 — —Waiver and estoppel
- § 3:60 — —Conclusion

CHAPTER 4. VOLUNTARY MEDIATION: TOOL TO ASSESS RISK AND SPEED SETTLEMENT

- § 4:1 Introduction
- § 4:2 Another option
- § 4:3 How mediation works—Agreement to mediate
- § 4:4 — —Mediation session
- § 4:5 Case in point
- § 4:6 Why mediation works
- § 4:7 — —Mediation brings the parties to the bargaining table as early as possible
- § 4:8 — —Mediation educates the participants and provides a “day in court”
- § 4:9 — —The mediator can work behind the scenes to develop a settlement
- § 4:10 Selecting cases for mediation
- § 4:11 Initiating the mediation process
- § 4:12 Representation
- § 4:13 Useful option

TABLE OF CONTENTS

Appendix 4-A. Sample Two-Step Mediation-Arbitration Clause

CHAPTER 5. UNIFORM MEDIATION ACT

- § 5:1 Introduction
- § 5:2 Principles
- § 5:3 —Uniformity
- § 5:4 —Confidentiality
- § 5:5 Application of the Act—Participants
- § 5:6 —Scope
- § 5:7 Privileged communications
- § 5:8 —Types of communications
- § 5:9 —Assertion of privilege
- § 5:10 —Waiver
- § 5:11 —Exceptions
- § 5:12 — —Settlement agreement
- § 5:13 —Final order
- § 5:14 State statutes
- § 5:15 International mediation

CHAPTER 6. LEGAL ISSUES RAISED BY THE SUMMARY JURY TRIAL PROCESS

- § 6:1 The summary jury trial concept
- § 6:2 Advantages and disadvantages to the summary jury
trial
- § 6:3 Legal issues—Source of courts' authority to recommend
summary jury trials
- § 6:4 —Challenges to court-ordered summary jury trials
- § 6:5 —Obligation to participate
- § 6:6 —Public access to summary jury trials
- § 6:7 —Confidentiality of summary jury trial
- § 6:8 —Courts' power to summon jurors for summary jury
trials
- § 6:9 Conclusion

CHAPTER 7. A CHECKLIST FOR SETTLEMENT OF A COMMERCIAL DISPUTE

- § 7:1 Introduction
- § 7:2 Preparing for negotiations
- § 7:3 —Know thy case
- § 7:4 —Know thy opponent's case
- § 7:5 —Know thy client
- § 7:6 —Know thy opponent
- § 7:7 —Know thy opponent's attorney

ALTERNATIVE DISPUTE RESOLUTION TECHNIQUES

- § 7:8 —Know thy judge
- § 7:9 —Other considerations—Collectibility of claim/
judgment? insurance coverage? effect/threat of
bankruptcy?
- § 7:10 — —Leverage?
- § 7:11 — —What is the cost of litigation for each side?
- § 7:12 — —Lost opportunity costs/time value of money?
- § 7:13 — —Tax effect?
- § 7:14 — —Structured settlement? settlement in kind?
- § 7:15 — —Assessing settlement ranges
- § 7:16 — —Who are the decision makers?
- § 7:17 — —Do you have the opponent's attention?
- § 7:18 — —Timing
- § 7:19 — —Do you need other professional assistance in
preparing for settlement discussions?
- § 7:20 — —The mediation alternative
- § 7:21 —Develop a settlement approach/game plan and a
“wish list”
- § 7:22 —Prepare the client for settlement
- § 7:23 The negotiations
- § 7:24 —Admissibility in evidence
- § 7:25 —Negotiation ethics
- § 7:26 —Who will be the negotiator? Who will attend the
discussions?
- § 7:27 —Who will initiate the discussions?
- § 7:28 —Patience! Settlement discussions take time, but don't
let them stall
- § 7:29 —How and where discussions will proceed
- § 7:30 —Pigs get fat, but hogs get slaughtered so let's make a
deal!
- § 7:31 —Be a good listener/observer
- § 7:32 —Build trust, establish credibility, and encourage
candor
- § 7:33 —Leave yourself an exit
- § 7:34 —Judicial involvement in settlement discussions
- § 7:35 Documenting the settlement
- § 7:36 —What is the governing law?
- § 7:37 —Who are the parties to the settlement?
- § 7:38 —What is the scope of the settlement?
- § 7:39 —Releases, indemnities, and other provisions in the
settlement agreement—Releases
- § 7:40 — —Indemnities
- § 7:41 — —Provision binding successors, assigns, affiliates
- § 7:42 — —Warranties, covenants, representations, and the
like
- § 7:43 — —Complete agreement/survival
- § 7:44 — —Recitation of consideration

TABLE OF CONTENTS

- § 7:45 — —No admissions clause
- § 7:46 — —Dismissal of lawsuit clause
- § 7:47 — —Confidentiality of agreement
- § 7:48 — —Court approval
- § 7:49 Conclusion

Bibliography

CHAPTER 8. METHODOLOGIES FOR DISPUTE COORDINATION AND CONTROL IN THE BLUE CROSS AND BLUE SHIELD SYSTEM

- § 8:1 Introduction
- § 8:2 The Blue Cross and Blue Shield dispute resolution requirement
- § 8:3 Initiation of the MMDR procedure—Preamble
- § 8:4 —Initiation of proceedings—Pre-MMDR efforts
- § 8:5 — —Complaint
- § 8:6 — —Answer
- § 8:7 — —Reply to counterclaim
- § 8:8 MMDR Stage 1: voluntary mediation—Mediation committee
- § 8:9 —Election to mediate
- § 8:10 —Selection of mediators
- § 8:11 —Binding decision
- § 8:12 —Mediation procedure
- § 8:13 —Notice of termination of mediation
- § 8:14 MMDR Stage 2: binding arbitration
- § 8:15 —MDR administrator
- § 8:16 —Initial conference
- § 8:17 —Panel selection process
- § 8:18 —Duties of the arbitrators
- § 8:19 —Panel's jurisdiction and authority
- § 8:20 —Administrative conference and preliminary arbitration hearing
- § 8:21 —Discovery
- § 8:22 —Panel suggested settlement/mediation
- § 8:23 —Subpoenas on third parties
- § 8:24 —Arbitration hearing
- § 8:25 —Arbitration hearing memoranda
- § 8:26 —Notice for testimony
- § 8:27 —Arbitration hearing procedures
- § 8:28 —Awards
- § 8:29 —Return of documents
- § 8:30 Miscellaneous—Expedited procedures
- § 8:31 —Temporary or preliminary injunctive relief

ALTERNATIVE DISPUTE RESOLUTION TECHNIQUES

- § 8:32 —Defaults and proceedings in the absence of a party
- § 8:33 —Notice
- § 8:34 —Expenses
- § 8:35 —Disqualification or disability of a panel member
- § 8:36 —Amendments
- § 8:37 —Extensions of time
- § 8:38 —Intervention
- § 8:39 —BCBSA assistance in resolution of disputes
- § 8:40 —Neutral evaluation
- § 8:41 —Recovery of attorney fees and expenses—Motions to compel
- § 8:42 — —Recovery of fees, expenses, and costs
- § 8:43 — —Requests for reimbursement

Appendix 8-A. Exhibit—Mediation Committee

CHAPTER 9. INTERNATIONAL ARBITRATION

- § 9:1 Introduction
- § 9:2 The major arbitration systems
- § 9:3 —The American Arbitration Association
- § 9:4 —The International Chamber of Commerce
- § 9:5 —London Court of International Arbitration
- § 9:6 —A note on the UNCITRAL arbitration rules
- § 9:7 — —Arbitrability
- § 9:8 Treaties
- § 9:9 Discovery
- § 9:10 *Ad hoc* arbitration
- § 9:11 Enforcement of arbitral awards
- § 9:12 —Service
- § 9:13 —Jurisdiction
- § 9:14 —Modifying or vacating award
- § 9:15 Drafting arbitration clauses
- § 9:16 Sanctions in international arbitration

Appendix 9-A. Sample Arbitration Clauses

CHAPTER 10. ARBITRATION OF CONSTRUCTION DISPUTES

- § 10:1 Introduction
- § 10:2 Federal Arbitration Act
- § 10:3 —Transactions “involving commerce”
- § 10:4 —Transactions “involving commerce”—Interstate
- § 10:5 —Severability of agreement to arbitrate
- § 10:6 —Conflict between state law and federal law
- § 10:7 —Incorporation by reference
- § 10:8 —Assignment of arbitration clause

TABLE OF CONTENTS

| | |
|----------------|--|
| § 10:9 | —Arbitrary and capricious standard of review |
| § 10:10 | —Waiver of right to compel arbitration |
| § 10:11 | —Vacating awards |
| § 10:12 | —Post-award proceedings |
| § 10:13 | State arbitration acts—Authority to decide arbitrability |
| § 10:14 | — —Construction Industry Arbitration Rules |
| § 10:15 | —Severability of agreement to arbitrate |
| § 10:16 | —Scope of arbitration clause |
| § 10:17 | —Incorporation by reference |
| § 10:18 | —Consolidation of arbitration hearings |
| § 10:19 | —Full faith and credit |
| § 10:20 | — <i>Res judicata</i> |
| § 10:21 | —When a valid agreement to arbitrate will not be enforced |
| § 10:22 | —Standing to enforce arbitration agreement |
| § 10:23 | —Third-party beneficiary |
| § 10:24 | —Waiver |
| § 10:25 | Expedited arbitration of construction disputes |
| § 10:26 | Non-signatories |
| § 10:27 | Evidence |
| Appendix 10-A. | Expedited Arbitration of Construction Disputes: Highlights of the Rules |
| Appendix 10-B. | Summary of Significant Changes to Construction Industry Arbitration Rules and Mediation Procedures |

CHAPTER 11. ALTERNATIVE DISPUTE RESOLUTION IN THE EMPLOYMENT SETTING

| | |
|---------|---|
| § 11:1 | Introduction |
| § 11:2 | Acceptance by employee |
| § 11:3 | Determining when to use alternative dispute resolution |
| § 11:4 | —Evaluation of the employer's situation |
| § 11:5 | —Timing of implementation |
| § 11:6 | —Determining which disputes will be subject to alternative dispute resolution |
| § 11:7 | — —Incorporation of arbitration rules |
| § 11:8 | Types of alternative dispute resolution |
| § 11:9 | —Mediation |
| § 11:10 | —Early neutral evaluation |
| § 11:11 | —Facilitation |
| § 11:12 | —Conciliation |
| § 11:13 | —Fact-finding |
| § 11:14 | —Mediation-arbitration |

ALTERNATIVE DISPUTE RESOLUTION TECHNIQUES

- § 11:15 —Ombudsman
- § 11:16 —Internal grievance procedures
- § 11:17 —Arbitration
- § 11:18 —Settlement
- § 11:19 Legal implications of using alternative dispute resolution
- § 11:20 —Current legal status of employment alternative dispute resolution
- § 11:21 — —Arbitration of statutory claims
- § 11:22 — —EEOC charges and lawsuits
- § 11:23 — —FAA exemption for workers engaged in foreign or interstate commerce
- § 11:24 — —ERISA
- § 11:25 — —Problems with the contract
- § 11:26 — — —Collective bargaining agreements
- § 11:27 — — —Unconscionability
- § 11:28 — — —Survival clause
- § 11:29 — — —Illusory agreements
- § 11:30 — — —Imbalance in negotiating position
- § 11:31 — — —Fees and expenses
- § 11:32 — — —“Loser pays” provisions
- § 11:33 — —Severability
- § 11:34 — —Class arbitration
- § 11:35 —State law
- § 11:36 Waiver
- § 11:37 Federal defense contractors
- § 11:38 Conclusion

Appendix 11-A. American Arbitration Association
Employment Arbitration Rules and
Mediation Procedures

Appendix 11-B. JAMS Employment Arbitration Rules and
Procedures

Appendix 11-C. JAMS Policy on Employment Arbitration
Minimum Standards of Procedural Fairness

Appendix 11-D. EEOC Policy Statement on Mandatory
Binding Arbitration

Appendix 11-E. EEOC Facts about Mediation

CHAPTER 12. IMPLEMENTING A PROGRAM OF EMPLOYMENT ADR UNDER THE AAA JUNE 2009 EMPLOYMENT ARBITRATION RULES AND MEDIATION PROCEDURES

- § 12:1 Introduction

TABLE OF CONTENTS

| | |
|---------|---|
| § 12:2 | Key features of employment arbitration under the arbitration rules of the June 2009 AAA Employment Arbitration Rules and Mediation Procedures—“Full Incorporation” requirement |
| § 12:3 | —Due process requirement |
| § 12:4 | —Initiation of arbitration and timeliness standards |
| § 12:5 | —Administrative and mediation conferences |
| § 12:6 | —Arbitrator selection |
| § 12:7 | —Representation by counsel |
| § 12:8 | —Case management and discovery |
| § 12:9 | —Hearing locale, location, date and time |
| § 12:10 | —“Interim Measures” |
| § 12:11 | —Attendance at hearings |
| § 12:12 | —Confidentiality of hearings |
| § 12:13 | —Conduct of hearing |
| § 12:14 | —Awards |
| § 12:15 | —Fees |
| § 12:16 | Employment ADR using the AAA, the bare necessities |
| § 12:17 | —Excluding issues and/or employees from coverage under the program—Excluding issues |
| § 12:18 | — —Excluding employees or employee groups |
| § 12:19 | —Minimizing the possibility of legal disputes, and making the ADR program legally binding as a substitute for resorting to the courts |
| § 12:20 | —Protecting against the possibility of an adverse judicial decision regarding enforceability, include a severability clause |
| § 12:21 | Employment ADR programs, going beyond the bare necessities, recommended terms |
| § 12:22 | —Broadly define the covered employer |
| § 12:23 | —Reserve the employer’s unilateral right to modify or terminate the program, but only on prospective basis |
| § 12:24 | —Clarify that the program applies to claims regardless of whether they arise before, during or after the time period of the employment relationship, and include a brief at-will disclaimer |
| § 12:25 | —Provide for pre-hearing interim (injunctive) relief, in an even handed way |
| § 12:26 | —Address the issue of class actions |
| § 12:27 | — —AAA’s class action policy and supplementary rules |
| § 12:28 | — —Arbitrator rulings heavily favor class action status where the arbitration provision is silent on class actions |
| § 12:29 | — —Enforceability of class action waivers |
| § 12:30 | — —Risk of class actions and providing for enhanced judicial review |

ALTERNATIVE DISPUTE RESOLUTION TECHNIQUES

- § 12:31 —Fees and expenses, limit at least the initial burden on employees
- § 12:32 —Make arbitration the tip of the ADR “iceberg”
- § 12:33 Employment ADR using the AAA, advanced choices—
Binding versus non-binding arbitration
- § 12:34 —Payment of expenses
- § 12:35 —Method of selection of arbitrator
- § 12:36 —Arbitrator authority
- § 12:37 —Confidentiality
- § 12:38 —Attorney representation
- § 12:39 —Judicial review/enforcement standards
- § 12:40 —Mandatory arbitration as applied to employment applicants
- § 12:41 Employment ADR using the AAA, controversial choices
- § 12:42 —Shorten and adopt a single statute of limitations, in favor of a single limitation period of no less than six months
- § 12:43 —Placing limitations or qualifications on remedies available
- § 12:44 —Encouraging the arbitrator to place limitations or qualifications on discovery
- § 12:45 Using ADR, Best Practices
- § 12:46 Concluding observations
- Appendix 12A. Federal District Court Data Indicating Trends of Larger Caseloads, a Larger Judiciary, Fewer Trials, and Fewer Jury Trials
- Appendix 12B. American Arbitration Association (AAA) Total Caseloads Juxtaposed with the Percentage of Cases Going to Trial, 1993-2002
- Appendix 12C. Sample Complete ADR Program (as Agreement or Policy)

CHAPTER 13. GRIEVANCE, MEDIATION AND ARBITRATION PROCEDURES FOR THE NON-UNION COMPANY

- § 13:1 Why should a non-union company have a grievance procedure? Aren't grievance procedures limited to union organized operations?
- § 13:2 What is a grievance procedure and why should a non-union company want one?
- § 13:3 The purposes of a grievance procedure
- § 13:4 —The grievance procedure as a communications link—Communication from the employee to the company
- § 13:5 — —Communication from the company to the employee

TABLE OF CONTENTS

| | |
|---------|--|
| § 13:6 | —The grievance procedure as an arena for catharsis |
| § 13:7 | —The grievance procedure as a medium for the crystallization of problems |
| § 13:8 | —The grievance procedure as a tool for conflict resolution |
| § 13:9 | Structuring the grievance procedure—The open-door policy |
| § 13:10 | The structured grievance procedure—What should be a grievance? |
| § 13:11 | —Individual or group grievances? |
| § 13:12 | —What kind of individual grievance should the company encourage? |
| § 13:13 | Formulating the grievance steps |
| § 13:14 | —Step one: communication between the employee and the supervisor |
| § 13:15 | —Step two: crystallization and catharsis and a check on communication |
| § 13:16 | —Step three: conflict resolution |
| § 13:17 | —When and where to handle the problems |
| § 13:18 | —Time limits |
| § 13:19 | Preserving the integrity of the system |

CHAPTER 14. ADMINISTRATIVE DISPUTE RESOLUTION ACT OF 1996

| | |
|---------|---|
| § 14:1 | Introduction |
| § 14:2 | Implementation authority |
| § 14:3 | —Basic terms |
| § 14:4 | —Use of neutrals |
| § 14:5 | —Confidentiality |
| § 14:6 | — —Possession by the neutral |
| § 14:7 | — —Possession by the parties |
| § 14:8 | — —Violations of the section |
| § 14:9 | — —Alternative confidential procedures |
| § 14:10 | — —Disclosure under the Freedom of Information Act |
| § 14:11 | — —Disclosure demands |
| § 14:12 | —Basic arbitration rules—Authorization of arbitration |
| § 14:13 | — —Enforcement |
| § 14:14 | — —Arbitrators |
| § 14:15 | — —Authority of the arbitrator |
| § 14:16 | — —Arbitration proceedings |
| § 14:17 | —Awards |
| § 14:18 | —Support services |
| § 14:19 | —Authorization of appropriations |
| § 14:20 | —Judicial review |
| § 14:21 | Miscellaneous aspects—Contract Disputes Act of 1978 |
| § 14:22 | —Negotiated Rulemaking Act of 1990 |

ALTERNATIVE DISPUTE RESOLUTION TECHNIQUES

§ 14:23 —U.S. Court of Federal Claims

§ 14:24 Court opinions involving ADRA

§ 14:25 Conclusion

Appendix 14-A. Administrative Dispute Resolution Act of
1996

CHAPTER 15. ALTERNATIVE DISPUTE RESOLUTION ACT OF 1998

§ 15:1 Introduction

§ 15:2 Statutory purpose

§ 15:3 Statutory structure

§ 15:4 —§ 651—Authorization of alternative dispute
resolution

§ 15:5 —§ 652—Jurisdiction

§ 15:6 —§ 653—Neutrals

§ 15:7 —Special rules for arbitration—§ 654—Arbitration

§ 15:8 — —§ 655—Arbitrators

§ 15:9 — —§ 656—Subpoenas

§ 15:10 — —§ 657—Arbitration award and judgment

§ 15:11 —§ 658—Compensation of arbitrators and neutrals

§ 15:12 Conclusion

Appendix 15-A. Alternative Dispute Resolution Act of 1998

CHAPTER 16. THE USE OF INFORMAL DISPUTE RESOLUTION PROCEDURES UNDER THE MAGNUSON-MOSS WARRANTY ACT

§ 16:1 Introduction

§ 16:2 Informal dispute resolution mechanisms

§ 16:3 Statutory provisions

§ 16:4 Regulations

§ 16:5 Application

§ 16:6 —Existence of claim

§ 16:7 —Sale of goods

§ 16:8 —Form of agreement

§ 16:9 —Disclosure

§ 16:10 —Required use of mechanism

§ 16:11 —Scope—Form of mechanism

§ 16:12 — —Oral warranties

§ 16:13 — —Third parties

§ 16:14 — —Attorneys fees

§ 16:15 —Exceptions

§ 16:16 —Remedies

§ 16:17 —Preemption

TABLE OF CONTENTS

§ 16:18 — —Federal laws

§ 16:19 — —State laws

Appendix 16-A. 16 C.F.R. Part 703—Informal Dispute
Settlement Procedures

CHAPTER 17. THE IMPACT OF TECHNOLOGY ON ALTERNATIVE DISPUTE RESOLUTION

§ 17:1 Introduction

§ 17:2 Online dispute resolution

§ 17:3 —Full-service dispute resolution sites

§ 17:4 —B2C and peer-to-peer dispute resolution

§ 17:5 —Blind bidding

§ 17:6 —Internal dispute resolution programs

§ 17:7 Use of ADR to resolve e-commerce and Internet-
related disputes

§ 17:8 —B2B and B2C disputes—AAA e-commerce services

§ 17:9 — —American Bar Association e-commerce and ADR
task force

§ 17:10 — —Federal Trade Commission

§ 17:11 —Intellectual property disputes—WIPO Arbitration
and Mediation Center

§ 17:12 Domain name disputes

§ 17:13 —Arbitration under the Uniform Dispute Resolution
Policy

§ 17:14 — —Mandatory administrative proceeding

§ 17:15 — —Types of evidence submitted in Uniform Dispute
Resolution Policy proceedings

§ 17:16 — —Sampling of Uniform Dispute Resolution Policy
decisions

§ 17:17 — — —General application of the Uniform Dispute
Resolution Policy

§ 17:18 — — —“Generic” domain names

§ 17:19 — — —Fair use

§ 17:20 — — —Bulk registrations

§ 17:21 — — —Celebrity domain names

§ 17:22 —Relationship between the Uniform Dispute
Resolution Policy and domain name laws/judicial
review

§ 17:23 —The decision to litigate or arbitrate

§ 17:24 Agreement to arbitrate

Appendix 17-A. American Arbitration Association Online
Arbitration Supplementary Procedures

Appendix 17-B. Arbitrate or Litigate?

Appendix 17-C. The CPR B2B E-Commerce Initiative

ALTERNATIVE DISPUTE RESOLUTION TECHNIQUES

- Appendix 17-D. CPR Global E-Commerce Commitment
- Appendix 17-E. CPR B2B E-Commerce ADR Commitment
- Appendix 17-F. The CPR Model ADR Provision for B2B
E-Contracts

APPENDICES

- Appendix A. A Directory of Alternative Dispute Resolution
Organizations, Providers, and Internet
Resources
- Appendix B. Why Use Pre-Dispute ADR Clauses?
- Appendix C. Highlights of the CPR Mediation Procedure
- Appendix D. CPR Model Dispute Resolution Clauses &
Optional Clause Language to Protect Rights
- Appendix E. The CPR Model ADR Provision for B2B
Platforms and Exchanges
- Appendix F. Sample Alternative Dispute Resolution Clauses
for a Variety of Transactions

Table of Laws and Rules

Table of Cases

Index