

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

ALTERNATIVE DISPUTE RESOLUTION TECHNIQUES

- § 1:34 Drafting the ADR clause or agreement
- § 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

TABLE OF CONTENTS

§ 2:15 —The demand
§ 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—Website display
§ 2:51 — —Transactional context
§ 2:52 — —Phone applications
§ 2:53 — —Change-of-terms provision
§ 2:54 —Appealing a court’s arbitrability decision
§ 2:55 — —Stay pending appeal
§ 2:56 —Preemption
§ 2:57 —Class arbitration
§ 2:58 — —Notice
§ 2:59 —Subject matter of the arbitration agreement

ALTERNATIVE DISPUTE RESOLUTION TECHNIQUES

- § 2:60 —Fraud in the inducement
- § 2:61 —Unconscionability
- § 2:62 —Severability
- § 2:63 —Survival clause
- § 2:64 —Waiver
- § 2:65 —Unilateral arbitration agreements
- § 2:66 —Illusory agreements
- § 2:67 —Nonsignatory parties
- § 2:68 — —Assumption
- § 2:69 — —Agency
- § 2:70 — —Third-party beneficiary
- § 2:71 — —Estoppel
- § 2:72 — —Incorporation by reference
- § 2:73 — —Collateral agreements
- § 2:74 — —Assignment
- § 2:75 — —Piercing the corporate veil/alter ego
- § 2:76 —Bankruptcy
- § 2:77 —Commercial forms
- § 2:78 — —Enforcing the unsigned arbitration agreement
- § 2:79 — —The battle of the forms
- § 2:80 — — —Course of dealing and industry practice
- § 2:81 —Other types of claims
- § 2:82 — —Antitrust claims
- § 2:83 — —Securities claims
- § 2:84 — —RICO claims
- § 2:85 — —Intellectual property claims
- § 2:86 — —Labor and employment claims
- § 2:87 — —Consumer credit
- § 2:88 The arbitration award in the courts
- § 2:89 —Enforcing an arbitration award
- § 2:90 — —Confirming, modifying, or vacating an award
- § 2:91 — —Jurisdiction
- § 2:92 — —Scope of judicial review
- § 2:93 —Concerns about the arbitrator
- § 2:94 — —Award exceeds arbitrator's power
- § 2:95 — —Arbitrator bias
- § 2:96 — — —Neutral arbitrator
- § 2:97 — — —Party-appointed arbitrator
- § 2:98 — —Arbitrator misconduct
- § 2:99 — —The California ethics rules
- § 2:100 —Types of relief—Damage limitations in contracts
- § 2:101 — —Punitive damages
- § 2:102 — —Attorney's fees
- § 2:103 — —Injunctive relief
- § 2:104 —Preclusive effects of arbitration
- § 2:105 —The public policy exception

TABLE OF CONTENTS

- § 2:106 The Uniform Arbitration Act
- Appendix 2-A. Selected Provisions of the United States
(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

ALTERNATIVE DISPUTE RESOLUTION TECHNIQUES

- § 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

TABLE OF CONTENTS

- § 4:11 Initiating the mediation process
- § 4:12 Representation
- § 4:13 Useful option
- 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

ALTERNATIVE DISPUTE RESOLUTION TECHNIQUES

- § 7:5 —Know thy client
- § 7:6 —Know thy opponent
- § 7:7 —Know thy opponent's attorney
- § 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

TABLE OF CONTENTS

- § 7:43 — —Complete agreement/survival
- § 7:44 — —Recitation of consideration
- § 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

ALTERNATIVE DISPUTE RESOLUTION TECHNIQUES

- § 8:30 Miscellaneous—Expedited procedures
 - § 8:31 —Temporary or preliminary injunctive relief
 - § 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

TABLE OF CONTENTS

§ 10:7	—Incorporation by reference
§ 10:8	—Assignment of arbitration clause
§ 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

ALTERNATIVE DISPUTE RESOLUTION TECHNIQUES

- § 11:13 —Fact-finding
 - § 11:14 —Mediation-arbitration
 - § 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