

Contents

<i>Preface</i>	<i>xxi</i>
<i>Acknowledgments</i>	<i>xxiii</i>
PART I OVERVIEW	1
Chapter 1 Disputing Procedures	3
A. The Processes	3
B. Sources and Goals of the Alternative Dispute Resolution Movement	6
C. Applications	9
D. Concerns	11
References	12
PART II PROCESSES	15
Chapter 2 Negotiation	17
M. Meltsner and P. Schrag, Negotiating Tactics for Legal Services Lawyers	17
H. Raiffa, The Art and Science of Negotiation	22
Questions	32
Note: Principled Negotiation	33
Question	34
W. Ury, Getting Past No	34
J. White, The Pros and Cons of “Getting to Yes”	40
R. Fisher, W. Ury, and B. Patton, Getting to Yes	42
D. Lax and J. Sebenius, The Manager as Negotiator	43
Question	53
R. Mnookin, S. Peppet, and A. Tulumello, The Tension Between Empathy and Assertiveness	54
D. Lax and J. Sebenius, The Manager as Negotiator	58
Questions	61
Note: The Janus Quality of Negotiation — Deal-Making and Dispute Settlement	62
J. Rubin and F. Sander, When Should We Use Agents? Direct vs. Representative Negotiation	64
Questions	67
J. White, Machiavelli and the Bar: Ethical Limitations on Lying in Negotiation	70

ABA, Model Rule of Professional Conduct 4.1	76
ABA, Model Rule of Professional Conduct 1.6	77
G. Shell, When Is It Legal to Lie in Negotiations?	78
Questions	80
R. Mnookin, Why Negotiations Fail: An Exploration of Barriers to the Resolution of Conflict	81
Exercises	87
References	105
 Chapter 3 Mediation	 107
A. The Practice of Mediation	108
N. Rogers and R. Salem, A Student's Guide to Mediation and the Law	109
R. Fisher and W. Ury, Getting to Yes	114
Question	115
F. Knebel and G. Clay, Before You Sue	116
Question	137
Note: The Role of Apology in Dispute Resolution	137
Note: Dealing with Impasse	139
Questions	141
Note: Dealing with Differences	143
Question	145
B. Public Encouragement of Mediation	147
1. The Parties' Satisfaction with the Process and Result	147
2. The Role of the Law and the Role of the Community	148
3. Equal Justice	150
4. The Effect on the Courts	152
Question	152
C. Social Science Assessments of Mediation	153
C. McEwen, Note on Mediation Research	156
Question	158
D. Regulating Mediation	158
1. Standards of Quality for Mediation	159
a. Fairness	160
b. Costs	161
c. The Effectiveness of the Justice System	161
d. A Word on Comparative Standards	162
Questions	162
2. Enforcement Mechanisms	163
a. Mediator Qualifications	163
Society of Professionals in Dispute Resolution, Report of the SPIDR Commission on Qualifications	164
Note	169
Questions	170
S. Cole, Mediator Certification: Has the Time Come?	170
Questions	175

b.	Holding the Mediator Accountable	176
	Note: The Life of the Mediator — To Be or Not to Be (Accountable)	176
	Note: Mediator Accountability	180
	Questions	181
c.	Required Mediation Procedures	182
	Questions	182
E.	The Lawyer-Mediator and Professional Responsibility	183
1.	The Provision of Legal Information and Drafting Assistance During Mediation Sessions Involving Unrepresented Parties	184
	R. Crouch, <i>The Dark Side of Mediation: Still Unexplored</i>	184
	Association of the Bar of the City of New York, Opinion Number 80-23	188
	Questions	190
2.	Representation of or Advocacy Against a Mediation Participant and Mediation Involving Prior Clients; Imputed Conflicts	190
	<i>McKenzie Construction v. St. Croix Storage Corp.</i>	191
	CPR Institute for Dispute Resolution — Georgetown Commission on Ethics and Standards in Alternative Dispute Resolution — Model Rules for the Lawyer Neutral	193
	Questions	194
3.	Representation of Clients in Out-of-State Mediation; Unauthorized Practice of Law	194
	S. Cole, <i>Unauthorized Practice of Law Charges: A Risk for Lawyers Representing Clients in Mediation and Arbitration in a Multi-jurisdictional Practice Environment</i>	195
	Mediation Exercises	197
	References	207
	 Chapter 4 Arbitration	 213
A.	The Process	213
	Arbitration or Litigation: A Dialogue	216
	Question	219
	S. Houck, <i>Complex Commerical Arbitration: Designing a Process to Suit the Case</i>	219
	Questions	222
B.	Legal Issues in Arbitration	222
1.	Preemption	222
	<i>Southland Corp. v. Keating</i>	223
	Note	226
	Questions	227
	Note on Application of Preemption Doctrine	227
	Questions	229
	Note on <i>Circuit City v. Adams</i>	229

Note on Class Actions and Arbitration Agreements	231
<i>Green Tree Financial Corp. v. Bazzle</i>	232
Questions	236
2. Revised Uniform Arbitration Act	237
Questions	238
3. Arbitrability	239
Questions	240
<i>Buckeye Check Cashing, Inc. v. Cardegna</i>	240
Questions	243
<i>First Options of Chicago, Inc. v. Kaplan</i>	244
Note on Arbitrability	246
C. Arbitration of Statutory Claims	248
Notes	252
D. Arbitration of Statutory Claims: Application to Employment Disputes	253
1. Repeat v. One-Shot Players	253
2. Arbitration of Statutorily-Based Employment Claims	256
a. Knowing and Voluntary Waiver of the Right to Sue	257
Question	258
b. Fairness of the Arbitration Procedures	259
Commission on the Future of Worker-Management Relations, Report and Recommendations	259
Task Force on Alternative Dispute Resolution in Employment, Due Process Protocol	260
<i>Cole v. Burns International Security Services</i>	263
Questions	269
1. Arbitration Costs	269
a. Arbitrator's Fees	269
b. Arbitration Filing Fees	271
Questions	271
2. Conscionability of the Arbitration Agreement	272
<i>Hooters of America, Inc. v. Phillips</i>	272
Questions	275
Note on Unconscionability	275
Notes and Questions	276
c. The Impact of Arbitration Agreements on the EEOC's Continuing Role in Employment Discrimination Cases	279
<i>EEOC v. Waffle House, Inc.</i>	279
Notes	282
d. The Scope of Judicial Review of Arbitration Awards	284
<i>Halligan v. Piper Jaffray, Inc.</i>	285
Note	287
Note and Questions on Limitations on Judicial Review of Arbitration Awards	287
<i>Hoelt v. MVL Group, Inc.</i>	289
Questions	294

E. Arbitration Ethics	295
1. Arbitrator Ethics	295
2. Ethics of Third-Party Provider Organizations	296
Questions	297
References	297
 Chapter 5 Combining and Applying the Basic Processes	 301
A. Introduction	301
B. Innovations in the Processes	303
1. Variants of Arbitration	304
a. Arbitration of Disputes About Contract Terms and Final Offer Arbitration	304
b. Arbitration Under a “High-Low” Contract	305
c. Tripartite Arbitration	306
d. Med-Arb	307
e. Court-Annexed Arbitration	309
Questions	310
Exercise	311
2. Minitrial	313
Exercise	315
3. Summary Jury Trial	317
Questions	317
4. Early Neutral Evaluation and “Rights-Based” Mediation	318
5. Ombudsman	319
L. Singer, Settling Disputes	319
Note	321
C. Dispute Systems Design	321
S. Goldberg, J. Brett, and W. Ury, Designing an Effective Dispute Resolution System	321
C. Costantino and C. Merchant, Designing Conflict Management Systems	330
1. Implementing the Design	331
2. Assessing Whether the Design “Works”	332
Questions	333
D. Selection of the Process	336
1. Lawyers	336
F. Sander and S. Goldberg, Fitting the Forum to the Fuss: A User-Friendly Guide to Selecting an ADR Procedure	337
2. Courts	349
Questions	350
Exercise	354
E. Representing a Client in Mediation	355
1. Discovery and Appropriate Timing for Dispute Resolution Processes	355
Questions	356

2. Premediation	356
L. Riskin, The Represented Client in a Settlement Conference: The Lessons of <i>G. Heileman Brewing Co. v. Joseph Oat Corp.</i>	357
3. Advocacy During Mediation	361
Questions	362
4. Ethical Issues	362
5. Making the Decision to Settle: Decision Analysis	363
M. Aaron and D. Hoffer, “Decision Analysis as a Method of Evaluating the Trial Alternative” in D. Golann, <i>Mediating Legal Disputes</i>	363
Some Questions About Decision Analysis	368
Questions	369
6. Postmediation	371
F. Applications	371
1. E-ADR	371
Question	371
2. Streams of Cases	372
Questions	373
3. Collaborative Lawyering	373
4. Single Complex Case	375
F. McGovern, <i>Toward a Functional Approach for Managing Complex Litigation</i>	375
References	382
PART III DISPUTE RESOLUTION AND THE JUSTICE SYSTEM	387
<hr/>	
Chapter 6 Courts and ADR	389
A. The Role of Courts	390
O. Fiss, <i>Against Settlement</i>	390
<i>Manufacturers Hanover Trust Co. v. Nicholas Yanakas</i>	394
Question	396
B. Court-Related Processes	396
E. Gray, <i>One Approach to Diagnostic Assessment of Civil Cases: The Individual Case-Screening Conference</i>	397
Question	401
Note: Empirical Research	401
C. Mandatory Participation and Pressure to Settle	402
SPIDR, Mandated Participation and Settlement	
Coercion: Dispute Resolution as It Relates to the Courts	402
F. Sander, H. Allen, and D. Hensler, <i>Judicial (Mis) Use of ADR? A Debate</i>	407
Questions	408
<i>Strandell v. Jackson County, Ill.</i>	409
Note	411

Question	411
<i>In re Atlantic Pipe Corp.</i>	412
Note	420
Note: Compulsory Attendance of Parties	421
E. Sherman, Court-Mandated Alternative Dispute Resolution: What Form of Participation Should Be Required?	424
Questions	426
D. The Role of Private Providers	428
W. Brazil, Comparing Structures for the Delivery of ADR Services by Courts: Critical Values and Concerns	428
Question	434
R. Chernick, H. Bendix, and R. Barrett, Private Judging: Privatizing Civil Justice	434
Questions	436
References	436
 Chapter 7 Confidentiality	 441
A. Introduction	441
B. Rights to Resist Disclosure Within Legal Proceedings	442
<i>Folb v. Motion Picture Industry Pension & Health Plans</i>	444
Questions	449
Note: The “Holder” of the Privilege	449
Questions	449
<i>State v. Castellano</i>	452
Questions	452
1. Accommodating the Interests of Justice: Predictability Versus Fine Tuning	453
<i>Olam v. Congress Mortgage Company</i>	453
Note on “Qualified” vs. “Categorical” Privilege	457
2. Conflict of Laws	458
Questions	459
C. The Neutral’s Obligation to Maintain Confidentiality	460
1. Confidentiality Agreements and Protective Orders	460
2. Ethical and Legal Obligations	461
D. Limits on Confidentiality Because of Policies Favoring Reporting or Warning	462
<i>C. R. & S. R. v. E.</i>	462
Questions	463
E. Limits on Confidentiality Because of Public Access Rights	464
<i>Bank of America National Trust & Savings Association v.</i> <i>Hotel Rittenhouse Associates</i>	464
<i>Cincinnati Gas & Electric Gas Co. v. General Electric Co.</i>	468
Note	471
Questions	472
References	473

PART IV	SELECTED APPLICATIONS	477
Chapter 8	Family Disputes	479
A.	Divorce Mediation Practice	481
	J. Haynes, Divorce Mediation	481
	J. Folberg, Divorce Mediation: Promises and Problems	487
	Questions	492
	J. Pearson, Family Mediation	492
B.	Mediation and Lawyers	494
	C. McEwen and N. Rogers, Bring the Lawyers into Divorce Mediation	494
	Question	498
C.	Mediation and Spousal Abuse	498
	R. Rimelspach, Mediating Family Disputes in a World with Domestic Violence: How to Devise a Safe and Effective Court-Connected Mediation Program	498
	Note: Domestic Violence and Mediation	503
D.	Mediation Clauses	505
	Questions	507
	References	509
Chapter 9	Public Disputes	513
	L. Susskind and J. Cruikshank, Breaking the Impasse	513
	Questions	519
	Note: Consensus Building	521
	S. McKearnan and P. Field, The Northern Oxford County Coalition: Four Maine Towns Tackle a Public Health Mystery	522
	Question	523
	Note: Negotiated Rulemaking	523
	Questions	525
	Exercises	526
	References	529
Chapter 10	International Disputes	531
A.	Negotiating and Mediating Public Disputes	533
	J. Carter, Keeping Faith	533
	Note	557
	Questions	558
B.	Arbitrating Private Disputes	558
	C. Bühring-Uhle, Arbitration and Mediation in International Business	559

Y. Dezalay and B. Garth, Dealing in Virtue: International Commercial Arbitration and the Construction of a Transnational Legal Order	561
A. Guzman and B. Simmons, To Settle or Empanel? An Empirical Analysis of Litigation and Settlement at the World Trade Organization	561
Question	563
Exercise	563
C. Negotiating Private Disputes	566
Exercise	566
References	567
 Chapter 11 Learning from Other Cultures	 571
A. Cross-Cultural Negotiation	571
J. Rubin and F. Sander, Culture, Negotiation, and the Eye of the Beholder	572
Note	575
Question	578
B. Listening to the World on the Design of Dispute Resolution Systems for Identity Group–Based Conflicts	578
1. Identity Group–Based Conflict Resolution in Other Nations	579
M. Hamilton and D. Bryan, Deepening Democracy? Dispute System Design and the Mediation of Contested Parades in Northern Ireland	579
Note	581
R. Goldstone, The South African Truth and Reconciliation Commission	581
Questions	583
2. The Community Relations Service	584
Questions	584
Negotiation Exercises	586
References	587
 PART V THE FUTURE OF ADR	 589
Chapter 12 The Future of ADR	591
A. The Societal-Public Perspective	591
Questions	595
B. The Student Perspective: “Can I Earn a Living in ADR?”	597
J. Alfini and E. Galton, ADR Personalities and Practice Tips	599
References	609

PART VI DISPUTE RESOLUTION PROBLEMS	611
Chapter 13 Dispute Resolution Problems	613
13.1 Irving Weston v. Lawyer's Press, Inc.	613
13.2 The Matter of Casey's Fee	614
13.3 American Can Co. v. Wisconsin Electric Power Co.	615
13.4 The Matter of the HAL 2001 Computer	616
13.5 Cincinnati Foods	617
13.6 Dyna-Mo Co.	617
13.7 The Case of Neighborhood Care, Inc.	617
13.8 Whittamore v. Fairview Clinic	619
13.9 University Housing Disputes	621
13.10 Griswold v. Langdell	621
13.11 Citizens v. Western Nuclear Corp.	622
13.12 Satcom, Inc. v. Telecom	623
13.13 A Neighborhood Dispute	624
13.14 Thomas v. Eagle Rifle Co.	624
13.15 The Virginia Medical Group	625
13.16 Due Process for Mediation Cases?	626
APPENDICES	627
Appendix A. Dispute Resolution Clauses	629
Appendix B. Federal Arbitration Act	631
Appendix C. Uniform Arbitration Act	637
Appendix D. Revised Uniform Arbitration Act	645
Appendix E. Uniform Mediation Act	663
Appendix F. National Standards for Court-Connected Mediation Programs	693
Appendix G. Model Standards of Practice for Family and Divorce Mediation	703
Appendix H. Model Standards of Conduct for Mediators	713
Appendix I. Dispute Resolution: An Annotated Guide to Selected Resources	721
<i>Table of Cases</i>	787
<i>Collected References</i>	789
<i>Index</i>	815