# Table of Contents

## Volume 1

### CHAPTER 1. INTRODUCTION

§ 1:1 Defining mediation  
§ 1:2 Roles of lawyers in mediation  
§ 1:3 Developing law regarding mediation  
§ 1:4 Conclusion

### CHAPTER 2. DILEMMAS PRESENTED BY INSTITUTIONALIZATION OF MEDIATION

§ 2:1 Introduction  
§ 2:2 Fairness  
§ 2:3 Effectiveness  
§ 2:4 Quality  
§ 2:5 Access  
§ 2:6 Promoting fairness and effectiveness in mediation  
§ 2:7 Promoting fairness, quality, and flexibility in mediation  
§ 2:8 Promoting quality and access in mediation  
§ 2:9 Conclusion

### CHAPTER 3. PRACTICES IN MEDIATION AND THEIR POTENTIAL TO OVERCOME BARRIERS TO EFFECTIVE NEGOTIATION

§ 3:1 Overview  
§ 3:2 Prototypical mediation session  
§ 3:3 Variations in mediation programs and services  
§ 3:4 Mediation process as distinct from related alternative dispute resolution processes  
§ 3:5 Barriers to efficient negotiation without mediation  
§ 3:6 Mediation as an aid to overcoming barriers to effective negotiation  
§ 3:7 —Recognizing the full range of party interests, values and priorities  
§ 3:8 —Managing emotional and relational issues  
§ 3:9 —Reducing principal-agent conflicts  
§ 3:10 —Overcoming strategic barriers to efficient settlement  
§ 3:11 —Improving logistics, communication and preparation  
§ 3:12 —Strengthening party involvement and procedural justice  
§ 3:13 —Reducing cognitive barriers to settlement  
§ 3:14 Conclusion

### CHAPTER 4. MEDIATION POLICY OBJECTIVES HISTORICALLY

§ 4:1 Origins of formal mediation in the United States
§ 4:2 Alternative dispute resolution movement
§ 4:3 Mediation moves into the mainstream
§ 4:4 Conclusion

CHAPTER 5. THE CHOICE TO MEDIATE
§ 5:1 Overview
§ 5:2 General considerations in deciding whether or not to pursue settlement
§ 5:3 Mediation compared to other approaches to settlement
§ 5:4 —Predictive settlement procedures
§ 5:5 —Med-arb and private judging
§ 5:6 —Collaborative law and cooperative practice
§ 5:7 —Choosing among alternatives
§ 5:8 Reasons to use mediation and timing considerations
§ 5:9 —Mediation as a default process choice
§ 5:10 —Contraindications
§ 5:11 —Timing considerations
§ 5:12 Procedural and substantive implications of a mediation request or participation
§ 5:13 —Tolling, laches, and failure to prosecute
§ 5:14 —Influencing litigation timelines and excusing rule violations
§ 5:15 —Waiver of rights, notice of claims, and exhaustion of administrative remedies
§ 5:16 —Jurisdiction, venue, and transfer
§ 5:17 Acts or omissions in mediation as a basis for independent claims
§ 5:18 —Insurance matters
§ 5:19 —Employment law and discrimination claims
§ 5:20 Conclusion

CHAPTER 6. MEDIATION CLAUSES IN CONTRACTS
§ 6:1 Overview
§ 6:2 Enforcement
§ 6:3 —Addressing mediation clause issues using the Federal Arbitration Act
§ 6:4 —Mediation as a condition precedent to litigation or arbitration by contract or statute
§ 6:5 —Sanctions and other incentives to gain compliance with agreement to mediate
§ 6:6 —Waiver issues
§ 6:7 —Public policy and unconscionability challenges to agreements to mediate
§ 6:8 Strategic issues
§ 6:9 Conclusion

CHAPTER 7. ENFORCEMENT
§ 7:1 Overview
§ 7:2 Contract formation issues
§ 7:3 —Manifestation of mutual assent
§ 7:4 —Agreements to agree
§ 7:5 —Requirement of a writing
§ 7:6 Contract defenses
§ 7:7 —Fraud/misrepresentation/non-disclosure
§ 7:8 —Mistake
CHAPTER 8. CONFIDENTIALITY

I. INTRODUCTION

§ 8:1 Overview
§ 8:2 Policy choices
§ 8:3 Choice of law
§ 8:4 Traditional objections to evidence

II. EVIDENTIARY EXCLUSIONS FOR COMPROMISE DISCUSSIONS AND AGREEMENTS

§ 8:5 In general
§ 8:6 Distinguished from privilege
§ 8:7 Scope of information protected
§ 8:8 Not excluded when offered for “purposes not prohibited”
§ 8:9 Types of proceedings governed
§ 8:10 Who may raise objection
§ 8:11 Criminal plea discussions and agreements

III. PRIVILEGE

§ 8:12 In general
§ 8:13 Uniform Mediation Act
§ 8:14 —State adoptions of the Uniform Mediation Act
§ 8:15 —Uniform Mediation Act in the courts
§ 8:16 Administrative Dispute Resolution Act of 1996
§ 8:17 Alternative Dispute Resolution Act of 1998
§ 8:18 Federal mediation privilege
§ 8:19 Threshold applicability: Is it mediation?
§ 8:20 Forums governed
§ 8:21 Who holds the privilege
§ 8:22 Source of information protected
§ 8:23 Qualified or absolute
§ 8:24 Scope of information protected
§ 8:25 —Common exceptions
### Table of Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>§ 9:5</td>
<td>—Opposition to good faith duty</td>
</tr>
<tr>
<td>§ 9:6</td>
<td>—Enforcing a good faith duty to mediate</td>
</tr>
<tr>
<td>§ 9:7</td>
<td>—Pre-mediation duties</td>
</tr>
<tr>
<td>§ 9:8</td>
<td>—Duty to attend</td>
</tr>
<tr>
<td>§ 9:9</td>
<td>Defining the parties’ duties in court-connected mediation—Representative with settlement authority</td>
</tr>
<tr>
<td>§ 9:10</td>
<td>Defining the parties’ duties in court-connected mediation—Number and length of sessions</td>
</tr>
<tr>
<td>§ 9:11</td>
<td>—Duty to pay for mediation</td>
</tr>
<tr>
<td>§ 9:12</td>
<td>Consequences for breach of duty</td>
</tr>
<tr>
<td>§ 9:13</td>
<td>—Court-imposed sanctions</td>
</tr>
<tr>
<td>§ 9:14</td>
<td>—Contempt</td>
</tr>
<tr>
<td>§ 9:15</td>
<td>—Dismissal as a sanction for breach of mediation duties</td>
</tr>
<tr>
<td>§ 9:16</td>
<td>—Sanctions for breach of confidentiality</td>
</tr>
<tr>
<td>§ 9:17</td>
<td>Mediation expenses, costs and attorney’s fees</td>
</tr>
<tr>
<td>§ 9:18</td>
<td>—Costs</td>
</tr>
<tr>
<td>§ 9:19</td>
<td>—Attorney’s fees to prevailing party</td>
</tr>
<tr>
<td>§ 9:20</td>
<td>—Reasonable and necessary fees</td>
</tr>
<tr>
<td>§ 9:21</td>
<td>Conclusion</td>
</tr>
</tbody>
</table>

### CHAPTER 10. LEGAL SERVICES BY MEDIATOR: CONFLICT OF INTEREST, ADVERTISING, JOINT PRACTICE, AND UNAUTHORIZED PRACTICE

<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>§ 10:1</td>
<td>Overview</td>
</tr>
<tr>
<td>§ 10:2</td>
<td>The lawyer-mediator’s ethical responsibilities</td>
</tr>
<tr>
<td>§ 10:3</td>
<td>—Provision of legal information</td>
</tr>
<tr>
<td>§ 10:4</td>
<td>—Avoiding the “representation” issue</td>
</tr>
<tr>
<td>§ 10:5</td>
<td>The mediator’s ethical responsibilities—Disclosure of conflicts before and during a mediation</td>
</tr>
<tr>
<td>§ 10:6</td>
<td>—Conflicts of interest in post-mediation representation</td>
</tr>
<tr>
<td>§ 10:7</td>
<td>—Other conflict of interest issues</td>
</tr>
<tr>
<td>§ 10:8</td>
<td>Advertising and lawyer-mediator</td>
</tr>
<tr>
<td>§ 10:9</td>
<td>Joint practices between lawyers and non-lawyers</td>
</tr>
<tr>
<td>§ 10:10</td>
<td>Unauthorized practice of law by non-lawyer mediators</td>
</tr>
<tr>
<td>§ 10:11</td>
<td>—Themes in unauthorized practice rulings generally</td>
</tr>
<tr>
<td>§ 10:12</td>
<td>—The reasoning of these rulings applied to mediation</td>
</tr>
<tr>
<td>§ 10:13</td>
<td>—Drafting settlement agreements</td>
</tr>
<tr>
<td>§ 10:14</td>
<td>—Codifying the trends</td>
</tr>
<tr>
<td>§ 10:15</td>
<td>Hybrid processes</td>
</tr>
<tr>
<td>§ 10:16</td>
<td>Judicial ethics and malpractice</td>
</tr>
<tr>
<td>§ 10:17</td>
<td>Conclusion</td>
</tr>
</tbody>
</table>

### CHAPTER 11. REGULATING THE MEDIATOR AND MEDIATION PROCEDURES: FAIRNESS, EFFECTIVENESS, AND ACCESS

<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td>§ 11:1</td>
<td>Introduction</td>
</tr>
</tbody>
</table>

xxi
CHAPTER 12. LAWSYERS’ OBLIGATIONS IN REPRESENTING CLIENTS BEFORE, DURING AND AFTER MEDIATION

§ 12:1 Lawyers’ obligations in representing clients before, during and after mediation
§ 12:2 Advising clients about dispute resolution alternatives
§ 12:3 Duty to advise clients about settlement offers
§ 12:4 Lawyer malpractice during the mediation process
§ 12:5 Lawyers’ ethical duties during mediation
§ 12:6 Unauthorized practice of law

CHAPTER 13. MEDIATION ADVOCACY

§ 13:1 Overview
§ 13:2 Persuading other parties to participate in mediation
§ 13:3 Choosing the mediator and ground rules
§ 13:4 Deciding who will attend mediation
§ 13:5 The agreement to mediate
§ 13:6 Lawyer and client preparation for mediation
§ 13:7 Advocacy at the mediation
§ 13:8 Post-mediation advocacy
§ 13:9 Conclusion

CHAPTER 14. MAKING COURT AND PUBLIC AGENCY-CONNECTED MEDIATION WORK EFFECTIVELY

I. INTRODUCTION

§ 14:1 Overview

II. DOES MEDIATION IMPROVE NEGOTIATION?

§ 14:2 Determining whether to initiate a mediation program and how its structure affects results
CHAPTER 14. EFFECTS OF MEDIATION

§ 14:3 Participation and settlement rates
§ 14:4 Speed of resolution
§ 14:5 Costs for parties
§ 14:6 Defining the issues of mediation
§ 14:7 Improved (more efficient) outcomes and just outcomes
§ 14:8 Party satisfaction and assessments of procedural justice
§ 14:9 Improved communication, party involvement and reduced cognitive barriers to settlement
§ 14:10 Effects on relationships and non-parties
§ 14:11 Changes in the ways that lawyers practice law
§ 14:12 Savings for courts and agencies
§ 14:13 Summary

III. READING THE RESEARCH RESULTS

§ 14:14 Attorneys representing parties in mediation
§ 14:15 Court program planners and administrators
§ 14:16 Will the mediation be mandatory or voluntary and if mandatory, what is the character of the mandate?
§ 14:17 How will case management and mediation be connected, if at all?
§ 14:18 When should mediation take place?
§ 14:19 Who mediates?
§ 14:20 How will the mediation be done?
§ 14:21 What ground rules for mediation should be established through rules or training of mediators?
§ 14:22 Who should participate in mediation?
§ 14:23 Conclusion: Strategies for making mediation programs work more effectively

IV. ASSESSING MEDIATION PROGRAMS

§ 14:24 Goals and types of program assessment
§ 14:25 Evaluation: Translating “does it work?” into research criteria
§ 14:26 Monitoring programs
§ 14:27 Outside program reviews
§ 14:28 Conclusion on assessment

CHAPTER 15. ISSUES RELATED TO SPECIFIC TYPES OF DISPUTES

§ 15:1 Introduction
§ 15:2 Family
§ 15:3 Intercorporate
§ 15:4 Medical related: Malpractice, termination of treatment, and service delivery issues
§ 15:5 Criminal
§ 15:6 School and university
§ 15:7 Environmental
§ 15:8 Employment
CHAPTER 16. CONCLUDING THOUGHTS: IMPROVING MEDIATION LAWS AND PRACTICE

§ 16:1 Why we suggest a series of questions
§ 16:2 Will the proposed law achieve its goals in light of mediation confidentiality?
§ 16:3 Will mediation participants know about the law if it is adopted?
§ 16:4 Does the proposed law conflict with deeply ingrained practices?
§ 16:5 Would the proposed law blur the lines between adjudication and mediation?
§ 16:6 What are the “unintended consequences” of the proposed law?
§ 16:7 Can the goals be achieved without changing the law?
§ 16:8 Conclusion

CHAPTER 17. INTERNATIONAL COMPARATIVE MEDIATION: LAW AND PRACTICE

I. INTRODUCTION

§ 17:1 Imagine

II. PRIVATE INTERNATIONAL LAW AND MEDIATION

§ 17:2 What is private international law?
§ 17:3 What are the objectives of private international law?
§ 17:4 What types of issues are canvassed by private international law?
§ 17:5 On the importance of well-drafted mediation clauses in private international law

III. HOW TO THINK ABOUT (INTERNATIONAL) MEDIATION LAW

§ 17:6 Addressing the diversity—consistency tension
§ 17:7 Law and regulation
§ 17:8 Regulatory actors
§ 17:9 Regulatory form
§ 17:10 Regulatory topics
§ 17:11 Mediation law: summary
IV. A CLOSER LOOK AT THREE LEGAL INSTRUMENTS ON CROSS-BORDER MEDIATION

§ 17:12 The European Directive on Mediation
§ 17:13 UNCITRAL Model Law on International Commercial Mediation and International Settlement Agreements Resulting from Mediation (MLICM)
§ 17:14 UNCITRAL Convention on International Settlement Agreements Resulting from Mediation (the Singapore Convention)

V. MULTI-TIERED DISPUTE RESOLUTION

§ 17:15 MDR: basic principles and forms
§ 17:16 Mediation windows in the arbitration house

VI. PRACTICE AREAS FOR INTERNATIONAL MEDIATION

§ 17:17 Who uses international mediation processes?
§ 17:18 Family mediation
§ 17:19 Commercial mediation
§ 17:20 Online Dispute Resolution (ODR)
§ 17:21 Intellectual property mediation
§ 17:22 Investor-State mediation
§ 17:23 State-to-State mediation
§ 17:24 Conclusion

Volume 2

APPENDICES

Appendix A. U.S.
Appendix B. U.S. Sample Clauses
Appendix C. International (Cross-border)

Volume 3

Appendix D. Non-U.S. (Foreign)
Appendix E. Non-U.S. (Foreign) Sample Clauses

Table of Laws and Rules
Table of Cases
Index