International Commercial Mediation: How Culture and Regulation are Affecting the Business and the Practice of Mediation

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CLE Materials & Speaker Biographies
Skadden Conference Center | 150 West 62nd Street, New York City
International Commercial Mediation: How Culture and Regulation are Affecting the Business and the Practice of Mediation

Table of Contents

1. Speaker Biographies

2. CLE Materials

Alexander, Nadja. Regulatory Robustness Ratings for Mediation Regimes. EU Mediation Law Handbook


Global Pound Conference Series. Shaping the Future of Dispute Resolution & Improving Access to Justice. (Cumulated Data Results)

Speaker Biographies

**Nadja Alexander**

Professor of Law, Singapore Management University

Academic Director, Singapore International Dispute Resolution Academy (SIDRA)

Nadja Alexander is Professor of Law at the Singapore Management University and Academic Director of the Singapore International Dispute Resolution Academy, Asia’s first institution dedicated to thought leadership and educational excellence in negotiation and dispute resolution.

Nadja is an award-winning author and educator and has been engaged as a policy adviser and conflict intervener in legal, corporate and development settings in more than 30 countries. Her work on designing regulatory frameworks for cross-border mediation has been applauded by policy makers and scholars. Nadja is also editor of the Global Trends in Dispute Resolution book series and the Kluwer Mediation Blog. Her work has been published variously in English, German, Chinese, Russian, Spanish and Arabic.

Nadja is Vice Chair of the Mediation Committee of the IBA and sits on various other boards and bodies. She is a Senior Fellow of the Dispute Resolution Institute at Mitchell Hamline School of Law, The United States and holds honorary professorial appointments at the Universities of Queensland and Newcastle, Australia.

**Dr. Guido Carducci**

Professor of Law, Université Paris-Est; Arbitrator/Mediator

Based in Paris and Rome, Guido Carducci acts as arbitrator and mediator, expert witness, and counsel, in commercial and investment disputes, and in art and cultural property disputes. He works in International Law (Public, Economic, Conflict of laws), European Union Law, and French and Italian Law.

Guido is a law professor in Paris, mainly in Commercial Law and International Business Law, an attorney-at-law, a Chartered Arbitrator (FCIarb) on various Panels of arbitrators. Member of three ICC Commissions (Arbitration and ADR, Competition, Commercial Law and Practice), Vice-Chair of the ABA’s International Arbitration Committee, Guido is the former Chief of the International Standards Section at UNESCO (Paris HQ 2002-2008) in charge of international standard-setting, treaty-making and implementation, of UNESCO conventions and instruments related to art and cultural property, for UNESCO and its (192) Member States. He served as mediator between the UK and Greek governments with regard to the Parthenon Marbles in the British Museum. He published widely and is a regular speaker in conferences.

**Professor Ilhyung Lee**

Professor of Law, University of Missouri

Ilhyung Lee is Edward W. Hinton Professor of Law and Senior Fellow, Center for the Study of Dispute Resolution, at the University of Missouri. He specializes in the fields of international dispute resolution, law and society in East Asia, and international and comparative law. He also teaches sports law and trademarks.

Professor Lee is included in the roster of neutrals for the Court of Arbitration for Sport (Mediators List), the International Centre for Dispute Resolution, USA Track & Field, the University of Missouri Campus Mediation Service, and the World Intellectual Property Organization (WIPO). His private practice experience includes positions at Cravath, Swaine & Moore (New York) and Kim & Chang (Seoul, Korea). Previously, he was law clerk to the Honorable Joseph F. Weis, Jr., of the U.S. Court of Appeals for the Third Circuit.

**Deborah Masucci, Esq.**

Co-Chair, International Mediation Institute

Deborah Masucci is a full time mediator and arbitrator as well as Chair and Board Member of the International Mediation Institute (IMI). She has been appointed as an arbitrator in over 150 matters covering employment, commercial, breach of contract, insurance coverage, and professional fee disputes. Deborah has been appointed to mediate matters involving employment, insurance coverage, business interruption, commercial business, and breach of contract. She is on the American Arbitration Association Commercial and Employment panels, the American Health Lawyers Association panels, the ICC Panel of Experts, an International Accredited Mediator with the Hong Kong Joint Mediation Center, and a member of the American College of Civil Trial Mediators as well as the International Arbitration Club of New York.

She is a global expert in alternative dispute resolution and dispute management with over thirty years’ experience in promoting the effective use of ADR in many capacities. She is a published author on ADR issues and frequently speaks on the topic. She was former Chair of the ABA Section for Dispute Resolution where she was a founding member of Women in Dispute Resolution and co-founder of Minorities in Dispute Resolution. She is Chair-Elect of the NYSBA Dispute Resolution Section. Deborah is a member of the Board of Editors for the Securities Arbitration Commentator and serves on the Board of Advisors for “Arbitrator Intelligence”. She is co-author of a Chapter on ADR Providers for ADR in Employment Law, and author of a Chapter on Securities Dispute Resolution for the Dispute Resolution Handbook.

**Jacqueline Nolan-Haley**

Professor of Law, Fordham Law School

Jacqueline Nolan-Haley is a Professor at Fordham University School of Law where she directs the Conflict Resolution & ADR Program, and the Mediation Clinic. She teaches courses in Alternative Dispute Resolution, International Dispute Resolution, Interethic Conflict Resolution, Catholic Perspectives on Conflict Resolution, and Mediation at Fordham Law School and in its Queens University Belfast and University College Dublin Summer Program. She has also conducted conflict resolution training programs in Ghana, Northern Ireland and in the United States.

Professor Nolan-Haley is a member of the Standing Committee on Mediator Ethical Guidance of the ABA Dispute Resolution Section. She is chair of the Education Committee of the New York State Bar Association’s Dispute Resolution Section. She is a member of the Chartered Institute of Arbitrators and is former Chair of the Alternative Dispute Resolution Section of the Association of American Law Schools, and the New York State Bar Association’s Alternative Dispute Resolution Committee.

Since joining JAMS as a full-time neutral in 1989, Michael D. Young, Esq. has conducted over 1800 complex or multi-party mediations and arbitrations in over thirty states (as well as in Puerto Rico) and abroad (such as in Rome, Madrid and Zurich), including approximately 250 arbitrations, appraisals or other binding dispute resolution proceedings. He has been appointed as a mediator or special master (for discovery management or settlement implementation purposes) by various federal, state and bankruptcy courts. Michael specializes in the resolution of commercial (including financial instrument and contract issues), insurance coverage, professional liability, construction and employment disputes.

Michael has been recognized as a leading neutral in the US and abroad. For example, in 2016 and 2017, Chambers and Partners identified him as one of the seven mediators in the United States recognized in Band One. He also has been recognized in “International Who’s Who in Commercial Mediation” and “International Who’s Who in Insurance and Reinsurance.” In addition to serving on the JAMS and JAMS International panels, Michael is a member of the CPR International Institute for Conflict Prevention and Resolution Panel of Distinguished Neutrals and is a member of the panels of the Beijing Arbitration Commission, Singapore International Mediation Center, Afghanistan Centre for Commercial Dispute Resolution and Center for Arbitration and Dispute Resolution in Israel. He is also an elected fellow of the College of Commercial Arbitrators and an elected “neutral” member of the College of Labor & Employment Lawyers.
EU Mediation Law Handbook
Global Trends in Dispute Resolution

VOLUME 7

Series Editor

Nadja Alexander, Academic Director, Singapore International Dispute Resolution Academy; Visiting Professor, Singapore Management University; Hon. Professor, The University of Queensland; Senior Fellow, Dispute Resolution Institute, Mitchell Hamline School of Law. Professor Nadja Alexander has written more than 10 books and 100 articles in the field of negotiation and dispute resolution. She is known for the passion, energy and creativity she brings to her various roles as scholar, policy adviser, mediation practitioner and trainer.

Introduction

Global Trends in Dispute Resolution offers readers a garden rich in ideas and insights into contemporary dispute resolution principles, processes, and practices. The series leads the way in first-class debate and analysis of dispute resolution trends across our rapidly globalizing world. More particularly, its volumes analyse dispute resolution developments in various geographical regions around the world and in relation to diverse transnational practice areas. These practice areas include not only well-established legal categories such as intellectual property, construction, and resources law, but also emerging dispute resolution trends ranging from dispute systems design to cross-border mediation in private and public law.

Objective

With a particular focus on new initiatives and ADR practices, the Global Trends in Dispute Resolution series aims to provide practitioners, scholars, policymakers, and ‘pracademics’ (that elusive yet rapidly emerging category of practical academics and academically-oriented practitioners – you know who you are) with the resources both to cultivate the dispute resolution gardens of the world and to explore new paths within and beyond them.

Frequency

A volume is published whenever an interesting topic presents itself.

The titles published in this series are listed at the end of this volume.
EU Mediation Law Handbook

Regulatory Robustness Ratings for Mediation Regimes

Edited by

Nadja Alexander
Sabine Walsh
Martin Svatos
Editors

Nadja Alexander is an award winning author and educator, a conflict intervention professional, and an adviser on mediation policy to international bodies and national governments. She is the Academic Director of the Singapore International Dispute Resolution Academy and Visiting Professor of Law at Singapore Management University. Her work has appeared in English, German, French, Arabic, Russian and Chinese languages. Nadja has worked in conflict resolution settings in more than thirty countries across Africa, Asia, Europe, the Americas and Oceania. She sits on mediation panels in Singapore, Hong Kong and Australia and is Vice-Chair of the IBA Mediation Committee, on the International Advisory Board of the Vienna International Arbitration Centre and a board member of the Singapore International Mediation Institute. Nadja holds concurrent appointments as Honorary Professor of Law at the University of Queensland, Australia and Senior Fellow of the Dispute Resolution Institute at Mitchell-Hamline School of Law in the United States. She was previously a Humboldt Fellow at the Max Planck Institute in Germany.

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Martin Svatos, PhD, is a mediator and arbitrator based in Prague, Czech Republic. He has been involved in more than 100 mediation cases, both domestic and international. In addition to his rich dispute resolution practice, he teaches at Charles University in Prague and several other universities around the globe. He also acts as a legal expert of
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Contributors

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Summary of Contents

Editors v
Contributors vii
Foreword xlix
Preface liii

CHAPTER 1
Introducing Regulatory Robustness Ratings for Mediation Regimes in the EU
*Nadja Alexander* 1

CHAPTER 2
Austria
*Christina Lenz & Martin Risak* 33

CHAPTER 3
Belgium
*Johan Billiet & Dilyara Nigmatullina* 59

CHAPTER 4
Bulgaria
*Eugen Georgiev* 93

CHAPTER 5
Croatia
*Boris Jukić & Anamarija Milanović* 125
Summary of Contents

CHAPTER 6
Cyprus
Victoria – Zoi Papagiannis & George Mountis 141

CHAPTER 7
The Czech Republic
Martin Svatos 161

CHAPTER 8
Denmark
Louise Lerche-Gredal 191

CHAPTER 9
England and Wales
Bill Marsh, Alexander Oddy & Jan O’Neill 203

CHAPTER 10
Estonia
Maria Pihlak 239

CHAPTER 11
Finland
Petra Hietanen-Kunwald 267

CHAPTER 12
France
Delphine Wietek 299

CHAPTER 13
Germany
Kristina Osswald & Gustav Flecke-Giammarco 349

CHAPTER 14
Greece
Apostolos Anthimos 383

CHAPTER 15
Hungary
Manuela Rendta Grosu 403

CHAPTER 16
Ireland
Sabine Walsh 435

xvi
# Summary of Contents

<table>
<thead>
<tr>
<th>Chapter</th>
<th>Country</th>
<th>Authors</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>17</td>
<td>Italy</td>
<td>Carlo Mastellone &amp; Laura Ristori</td>
<td>465</td>
</tr>
<tr>
<td>18</td>
<td>Latvia</td>
<td>Dana Rone</td>
<td>493</td>
</tr>
<tr>
<td>19</td>
<td>Lithuania</td>
<td>Virgilijus Valančius</td>
<td>509</td>
</tr>
<tr>
<td>20</td>
<td>Luxembourg</td>
<td>Jan Kayser</td>
<td>529</td>
</tr>
<tr>
<td>21</td>
<td>Malta</td>
<td>Adrian Delia &amp; Michael Muscat</td>
<td>545</td>
</tr>
<tr>
<td>22</td>
<td>The Netherlands</td>
<td>Machteld Pel</td>
<td>563</td>
</tr>
<tr>
<td>23</td>
<td>Northern Ireland</td>
<td>Brian Speers</td>
<td>587</td>
</tr>
<tr>
<td>24</td>
<td>Poland</td>
<td>Rafal Morek</td>
<td>601</td>
</tr>
<tr>
<td>25</td>
<td>Portugal</td>
<td>Miguel Cancellita d’Abreu &amp; Sabine Walsh</td>
<td>623</td>
</tr>
<tr>
<td>26</td>
<td>Romania</td>
<td>Constantin Adi Gavrila &amp; Sanda Elena Langu</td>
<td>637</td>
</tr>
<tr>
<td>27</td>
<td>Scotland</td>
<td>Charlie Irvine</td>
<td>659</td>
</tr>
</tbody>
</table>
Summary of Contents

CHAPTER 28
Slovak Republic
Alexandra Kapišovská, František Kutlik & Tatiana Hambalkova 697

CHAPTER 29
Slovenia
Aleš Zalar 717

CHAPTER 30
Spain
Mercedes Tarrazón & Marian Gili Saldaña 739

CHAPTER 31
Sweden
Bengt Lindell 761
§2.04 Initiating Mediation 41
§2.05 Process 44
  [A] Confidentiality 45
  [B] Neutrality and Fair Treatment 45
  [C] Transparency and Consequences 45
  [D] Legal Advice 46
  [E] Documentation 46
  [F] Use of Private Sessions (Caucus) 46
§2.06 Recognition and Accreditation of Mediators 46
§2.07 Confidentiality and Admissibility of Mediation Evidence 50
§2.08 Mediated Outcomes and Enforceability 53
§2.09 Duties and Obligations 54
§2.10 Limitation Periods 56

CHAPTER 3
Belgium

Johan Billiet & Dilyara Nigmatullina

Editors’ Note 59
Regulatory Robustness Rating for Mediation 59
§3.01 Introduction 62
§3.02 Basic Terms and Definitions 63
  [A] Cross-Border Dispute 63
  [B] Mediation 63
§3.03 Sources of Cross-Border Mediation Regulation 64
  [A] The EU Directive 64
  [B] The Belgian Law on Mediation 64
  [C] The FMC Code of Conduct 65
  [D] The Directive on C-ADR and the Regulation on C-ODR 65
  [E] Belmed: Belgian ODR Platform 65
  [F] Regulation of Mediation in Areas Other Than Civil and Commercial 66
§3.04 Disputes Suitable for Mediation 66
§3.05 Initiating Mediation 68
  [A] The Law on Mediation 68
  [B] Other Triggers: Referral by Lawyers 70
  [C] Use of mediation 70
  [D] Combination of Mediation and Arbitration 70
§3.06 The Mediation Process 71
  [A] The Law on Mediation 71
  [B] Codes of Conduct 72
  [C] Institutional Rules 73
§3.07 Limitation Periods

§3.08 Payment of Mediators

§3.09 Accreditation and Recognition of Mediators

[A] The Institutional Framework for Accreditation of Mediators

[B] Accreditation Requirements under the Law on Mediation

[C] Accreditation Requirements under the FMC Guidelines

[D] Requirements to Maintain Mediator’s Accreditation

[E] Requirements for a Lawyer to Become Accredited as a Mediator

[F] Benefits of Using an Accredited Mediator

[G] Rights and Obligations of an Accredited Mediator

[H] Liability and Immunity of an Accredited Mediator

[I] Quality Assurance Mechanisms

[1] Complaints Procedures Against Accredited Mediators

[2] Complaint Procedures Against Non-accredited Mediators

[J] Access to information on accredited mediators

§3.10 Confidentiality and Admissibility of Mediation Evidence

[A] Insider/Outsider Confidentiality

[B] Insider/Insider Confidentiality

[C] Insider/Court Confidentiality

§3.11 Duty of Impartiality of Mediators

§3.12 Duties and Obligations of Participants Other Than Mediators

[A] Lawyers/Legal Representatives

[B] Parties

[C] Other participants

§3.13 Mediated Outcomes and Enforceability

§3.14 Future Developments

[A] New Law on Mediation

[B] Measures Suggested by Stakeholders

[C] Proposals of the Chamber of Representatives

CHAPTER 4
Bulgaria

Editors’ Note

Regulatory Robustness Rating for Mediation

§4.01 Introduction

§4.02 Basic Terms and Definitions

[A] Cross-Border Mediation

[B] Other Definitions

§4.03 Sources of Mediation Regulation

[A] National Sources of Mediation Regulation

[B] The Mediation Act

[C] Model Laws Following the Adoption of the MA

[D] Order No. 17, Regulation No. 2, Order of 2012
Regulatory Robustness Rating for Mediation

§5.01 Introduction

§5.02 Basic Terms and Definitions

[A] Cross-border Disputes

[B] Mediation, Mediator and Mediation Institution

§5.03 Sources of Mediation Regulation

[A] Mediation Act


[C] Ordinance on Register and Accreditation

[D] Institutional Rules

§5.04 Initiating Mediation

[A] Main Mediation Triggers

[1] Court Recommendation


[B] Disputes Considered Suitable for Mediation

§5.05 Process

[A] Initiation of the Mediation Process

[B] Main Principles Governing the Mediation Process

[C] Court Annexed Mediation

[D] Termination of Mediation

§5.06 Recognition and Accreditation of Mediators

[A] Prerequisites

[B] Requirements

[C] Requirements to Maintain Registered Status

[D] Implications of Mediator Credentialing for Practice

[E] Quality Assurance Mechanisms

[F] Public Access to Information on Certified Mediators

§5.07 Confidentiality and Admissibility of Mediation Evidence

[A] Insider/Outsider Confidentiality

[B] Insider/Insider Confidentiality

[C] Insider/Court Confidentiality

§5.08 Rights and Obligations

[A] Mediators

[B] Lawyers

§5.09 Enforcement of Mediated Outcomes

[A] Enforceability Clause

[B] Possible Difficulties

§5.10 Limitation Periods

§5.11 Future Developments

CHAPTER 6

Cyprus

Victoria – Zoi Papagiannis & George Mountis

Editors’ Note
Regulatory Robustness Rating for Mediation 141
§6.01 Introduction 144
§6.02 Basic Terms and Definitions 145
[A] Cross-Border Dispute 145
[B] Mediation 146
§6.03 Sources of Mediation Regulation 146
[A] The 2012 Law 146
[B] European Code of Conduct for Mediators 146
[C] Lawyers’ Law, CAP. 2/Lawyers’ Code of Conduct Regulations of 2002 146
§6.04 Initiating Mediation 147
[A] Mediation Clauses 147
[B] Court Referral 147
[C] Information of the Public 148
[D] Types of Disputes Considered Suitable for Mediation 148
§6.05 Process 149
[A] Fair Treatment/Natural Justice 149
[B] Use of Private Sessions 150
[C] Reimbursement of Mediator 150
[D] Role of Mediator 150
§6.06 Recognition and Accreditation of Mediators 151
[A] Requirements for Professional Mediator Recognition 151
[1] Common Criteria 151
[2] Lawyers 152
[3] Other Professionals 152
[4] Loss of Accreditation 152
[B] Implications of Mediator Accreditation for Practice 153
[1] Liability and Immunity 153
[3] Register of Mediators 154
§6.07 Confidentiality and Admissibility of Mediation Evidence 154
[A] Insider/Outsider Confidentiality 155
[B] Insider/Insider Confidentiality 155
[C] Insider/Court Confidentiality 155
§6.08 Duties and Obligations 156
[A] Mediators 156
[B] Lawyers 156
[C] Parties 157
[D] Others 157
§6.09 Enforcement of Mediated Outcomes 158
[A] The Form and Content of the Mediated Settlement Agreement 158
[B] Enforcement Procedure 158
§6.10 Limitation Periods 159
CHAPTER 7
The Czech Republic
Martin Svatos

Editors’ Note
Regulatory Robustness Rating for Mediation
§7.01 Introduction
§7.02 Basic Terms and Definitions
[A] Cross-Border Dispute
[B] Mediation
[C] Mediator
[D] Visiting Mediator
§7.03 Sources of Mediation Regulation
[A] EU Mediation Directive
[B] Mediation Law
[C] Code of Civil Procedure
[D] New Civil Code
[E] Act on Advocacy
[F] Act on Court Fees
[G] Ordinance of the Ministry of Justice
[H] Mediation Ethics Code for Attorneys-at-Law
§7.04 Initiating Mediation
[A] Disputes Suitable for Mediation
[B] Mediation Triggers
[1] Court Referral
[2] First Meeting with a Registered Mediator
[3] Recommendation to Attend Mediation
§7.05 Process
[A] Instruments Regulating Mediation
[B] Issues Covered
[1] Initiation, Rejection and Termination of Mediation
§7.06 Recognition and Accreditation of Mediators
[A] Requirements for Professional Mediator Recognition
[1] General Requirements
[2] Mediator’s Examination
[3] Family Mediation Examination
[B] Implications of Mediator Credentialing for Practice
[C] Liability and Immunity
[1] Civil Liability Exception
Table of Contents

[D] Mechanisms to Ensure Mediations Are Conducted in a Fair, Impartial and Competent Manner 182
[E] Information on Certified Mediators 182
§7.07 Confidentiality and Admissibility of Mediation Evidence 182
[A] Insider/Outsider Confidentiality 183
[B] Insider/Insider Confidentiality 184
[C] Insider/Court Confidentiality 184
§7.08 Duties and Obligations 184
[A] Mediators 184
[B] Attorneys-at-Law 186
[C] Parties 186
§7.09 Enforcement of Mediated Outcomes 186
[A] Mediated Settlement Agreement 186
[B] MSA Enforcement by Court Approval 187
[C] MSA Enforcement by Notarial Deed 187
§7.10 Limitation Periods 187
§7.11 Future Developments 188

CHAPTER 8
Denmark
Louise Lerche-Gredal 191
Editors’ Note 191
Regulatory Robustness Rating for Mediation 192
§8.01 Introduction 195
§8.02 Basic Terms and Definitions 195
[A] Cross-Border Dispute 195
[B] Mediation 196
§8.03 Sources of Mediation Regulation 196
§8.04 Initiating Mediation 197
§8.05 Process 198
§8.06 Recognition/Credentialing/Accreditation of Mediators 199
§8.07 Confidentiality and Admissibility of Mediation Evidence 201
§8.08 Mediated Outcomes and Enforceability 201
§8.09 Impact of Commencing Mediation on the Statute of Limitations 202
§8.10 Duties and Obligations 202

CHAPTER 9
England and Wales
Bill Marsh, Alexander Oddy & Jan O’Neill 203
Editors’ Note 203
§9.01 Introduction 207
§9.02 Basic Terms and Definitions 208
§9.03 Sources of Mediation Regulation 210
  [A] EU Mediation Directive 210
  [B] Rome I Regulation 210
  [C] EU ADR Directive 212
  [D] Court Rules 213
  [E] Case Law 213
  [F] Mediation Agreements 214
  [G] Codes of Conduct 214
  [H] Civil Mediation Council 214
  [I] International Organisations 214
§9.04 Initiating Mediation 215
  [A] Civil Procedure Rules and Court Referral 215
  [B] Costs Penalties 216
  [C] Pre-action Protocols 219
  [D] Court Schemes 220
  [E] Ad Hoc Referral by Lawyers 220
  [F] Mediation Contract Clauses 221
§9.05 Process 222
  [A] Codes of Conduct 222
  [B] Institutional Rules 222
  [C] Mediation Agreements 222
§9.06 Recognition/Credentialing/Accreditation of Mediators 223
  [A] Accreditation Standards 226
§9.07 Confidentiality and Admissibility of Mediation Evidence 228
  [A] The EU Mediation Directive 229
  [C] Mediation Agreements 230
  [D] The Contractual Position and the General Law 230
§9.08 Mediated Outcomes and Enforceability 233
§9.09 Duties and Obligations 235

CHAPTER 10
Estonia
Maria Pihlak 239

Editors’ Note 239
Regulatory Robustness Rating for Mediation 239
§10.01 Introduction 242
§10.02 Basic Terms and Definitions 243
§10.03 Sources of Mediation Regulation 244
§10.04 Initiating Mediation 244
  [A] Disputes Suitable for Mediation 245
Table of Contents

[B] Triggering Mediation 246

§10.05 Process 247
[A] Instruments Regulating the Conduct of Mediators 247
[B] Main Themes 248
[C] Fair Treatment 248
[D] Use of Private Sessions 249
[E] Role of the Mediator 249
[F] Payment of the Mediator 250

§10.06 Recognition and Accreditation of Mediators 251
[A] Accreditation of a Mediator 251
[B] Becoming a Mediator 251
[C] Role of a Lawyer 252
[D] Influence of Accreditation on Practice 252
[E] Effect of Accreditation on Liability and Immunity 252
[F] Quality Assurance Mechanisms 253
[G] Eligibility Requirements for Mediators 254
[H] Finding a Mediator 254

§10.07 Confidentiality and Admissibility of Mediation Evidence 255
[A] General Principles Regarding Confidentiality 255
[B] Insider/Insider Confidentiality 256
[C] Insider/Court Confidentiality 256

§10.08 Mediated Outcomes and Enforceability 257
[A] Enforcing Mediated Settlement Agreements 257
[B] Agreements That Can Be Validated by the Court Without a Formal Court Hearing 258
[C] Agreements That Can Be Validated by the Court in the Course of a Formal Court Hearing 258
[D] Agreements That Can BeAuthenticated by a Notary 258
[E] Mediation During Court Proceedings 259
[F] The Mediated Settlement Agreement as a Legally Binding Contract 259

§10.09 Effect on Limitation Periods 260

§10.10 Duties and Obligations 260
[A] Duties and Obligations of a Mediator 261
[B] Impartiality 261
[C] Confidentiality 261
[D] Prohibition From Representing a Party in Other Proceedings 262
[E] Obligation to Explain the Proceedings 262
[F] Documentation 262
[G] Certificate Stating the Failure of the Proceedings 262
[H] Settlement Agreement 262
[I] Liability 263
[J] Duties and Obligations of a Legal Representative 264
[K] Duties and Obligations of the Participants 264
[L] Forthcoming Changes 264

xxviii
CHAPTER 11
Finland
Petra Hietanen-Kunwald

Editors’ Note 267
Regulatory Robustness Rating for Mediation 268
§11.01 Introduction 271
§11.02 Basic Terms and Definitions 272
[A] Cross-Border Disputes 272
[B] Court Mediation Versus Out-of-Court Mediation 272
[C] Other Legal Definitions 273
[D] Mediation Outside the Mediation Act 273
§11.03 Sources of Mediation Regulation 273
[A] National Sources 274
[B] European Union Sources 275
[C] Sources of Private International Law 275
§11.04 Initiating Mediation 276
[A] Court Mediation 276
[B] Out-of-Court Mediation 277
[C] Effect of Mediation on Limitation Periods 279
§11.05 Mediation Process 279
[A] Court Mediation 279
[B] Out-of-Court Mediation 280
[C] Costs of Mediation 282
[1] Court Mediation 282
[D] Termination of the Process 283
[E] Mediator and Subsequent Court Proceedings or Arbitration 284
§11.06 Recognition of Mediators 284
[A] Court Mediation 285
[B] Out-of-Court Mediation 285
[C] Eligibility Requirements 287
[D] How to Find a Mediator 288
§11.07 Confidentiality and Admissibility of Mediation Evidence 288
[A] Insider/Outsider Confidentiality 289
[1] Court Mediation 289
[2] Out-of-Court Mediation 289
[B] Insider/Insider Confidentiality 290
[C] Insider/Court Confidentiality 291
§11.08 Mediated Outcomes and Enforceability 292
[A] Confirmation of Enforceability Subsequent to Out-of-Court Mediation 292
[B] Confirmation of Enforceability Subsequent to Court Mediation 294
<table>
<thead>
<tr>
<th>Section</th>
<th>Title</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>§11.09</td>
<td>Duties and Obligations</td>
<td>294</td>
</tr>
<tr>
<td>[A]</td>
<td>Duties of the Mediator</td>
<td>294</td>
</tr>
<tr>
<td>[1]</td>
<td>Court Mediation</td>
<td>295</td>
</tr>
<tr>
<td>[B]</td>
<td>Duties of the Parties and Their Lawyers</td>
<td>297</td>
</tr>
<tr>
<td>[C]</td>
<td>Duties of Other Participants</td>
<td>297</td>
</tr>
<tr>
<td>§11.10</td>
<td>Conclusion</td>
<td>298</td>
</tr>
<tr>
<td>§12.01</td>
<td>Introduction</td>
<td>303</td>
</tr>
<tr>
<td>§12.02</td>
<td>Basic Terms and Definitions</td>
<td>305</td>
</tr>
<tr>
<td>[A]</td>
<td>Cross-Border Disputes</td>
<td>305</td>
</tr>
<tr>
<td>[C]</td>
<td>Difference Between Conventional and Court-Connected Mediation</td>
<td>306</td>
</tr>
<tr>
<td>[D]</td>
<td>Conciliation</td>
<td>308</td>
</tr>
<tr>
<td>[2]</td>
<td>Differences Between Mediation and Conciliation</td>
<td>310</td>
</tr>
<tr>
<td>§12.03</td>
<td>Sources of Cross-Border Mediation Regulation</td>
<td>313</td>
</tr>
<tr>
<td>[A]</td>
<td>Civil Code of Procedure</td>
<td>314</td>
</tr>
<tr>
<td>[C]</td>
<td>Codes of Conduct</td>
<td>316</td>
</tr>
<tr>
<td>§12.04</td>
<td>Initiating Mediation</td>
<td>316</td>
</tr>
<tr>
<td>[A]</td>
<td>Scope of Mediation</td>
<td>316</td>
</tr>
<tr>
<td>[2]</td>
<td>Disputes That Can Be Referred Subject to Restrictions</td>
<td>317</td>
</tr>
<tr>
<td>[a]</td>
<td>Administrative Mediation</td>
<td>317</td>
</tr>
<tr>
<td>[b]</td>
<td>Family Mediation</td>
<td>318</td>
</tr>
<tr>
<td>[c]</td>
<td>Employment Mediation</td>
<td>320</td>
</tr>
<tr>
<td>[d]</td>
<td>Consumer Mediation</td>
<td>321</td>
</tr>
<tr>
<td>[B]</td>
<td>Processes Triggering Mediation</td>
<td>323</td>
</tr>
<tr>
<td>[1]</td>
<td>Court-Connected Mediation</td>
<td>323</td>
</tr>
<tr>
<td>[2]</td>
<td>Conventional Mediation</td>
<td>324</td>
</tr>
<tr>
<td>[C]</td>
<td>Validity and Enforceability of Agreements to Mediate and</td>
<td></td>
</tr>
<tr>
<td></td>
<td>xxx</td>
<td></td>
</tr>
</tbody>
</table>
§12.05 Process

[A] Instruments Regulating the Conduct of Mediation
[1] Formal Laws
[2] Codes of Conduct and Mediation Rules

[B] Themes Covered by the Instruments Regulating the Conduct of Mediations
[1] Formal Laws
[2] Codes of Conduct, Codes of Ethics and Mediation Rules

§12.06 Recognition of Mediators

[A] Instruments Regulating Accreditation Mechanisms
[1] Formal Laws
[2] Codes of Conduct

[B] Who Can Act as Mediator?
[1] Court-Connected Mediation

[C] Is Mediation Considered Part of the Role of the Lawyer?

[D] Lawyer-Mediators and Non-lawyer Mediators

[E] How Accreditation Influences Practice

[F] Rights and Obligations and Accreditation Status

[G] Liability and Immunity

[H] Quality Assurance Mechanisms

§12.07 Confidentiality and Admissibility of Mediation Evidence

[A] Insider/Outsider Confidentiality

[B] Insider/Insider Confidentiality

[C] Insider/Court Confidentiality

§12.08 Mediated Outcomes and Enforceability

[A] Court-Connected Mediation

[B] Conventional Mediation

§12.09 Duties and Obligations

[A] Duties and Obligations

[B] Consequences of the Breach of These Duties

[C] Duties and Obligations of Lawyers

§12.10 Conclusion

Chapter 13
Germany
Kristina Osswald & Gustav Flecke-Giammarco

Editors’ Note

Regulatory Robustness Rating for Mediation

§13.01 Introduction

[A] Family Mediation

§13.02 Basic Terms and Definitions

[A] Statutory Definition of Mediation
§14.04 Initiating Mediation

[A] Main Mediation Triggers

[1] Mediation Clauses

[2] The Mediation Law


[B] Types of Disputes Suitable for Mediation

§14.05 Process

[A] Out-of-Court Mediation

[B] Judicial Mediation

§14.06 Recognition and Accreditation of Mediators

[A] Requirements for Professional Mediator Recognition

[1] Who May Act as Mediator

[2] Certification of Mediators

[3] Accreditation According to the Mediation Law

[4] Accreditation by Foreign Institutions


[B] Implications for Practice

[C] Mechanisms to Ensure a Fair, Impartial and Competent Process

§14.07 Confidentiality and Admissibility of Mediation Evidence

[A] Insider/Outsider Confidentiality

[B] Insider/Insider Confidentiality

[C] Insider/Court Confidentiality

§14.08 Duties and Obligations

[A] Mediators

[B] Lawyers

[C] Parties

[D] Others

§14.09 Enforcement of Mediated Outcomes

[A] Out-of-Court Mediation

[B] Enforcing the Outcome of Judicial Mediation

§14.10 Limitation Periods

§14.11 Future Developments

CHAPTER 15

Hungary

Manuela Renáta Grosu

Editors’ Note

Regulatory Robustness Rating for Mediation

§15.01 Introduction

§15.02 Basic Terms and Definitions

[A] Mediation

[B] Cross-Border Dispute

§15.03 Sources of Mediation Regulation
Table of Contents

[A] Mediation Act 408
[B] Decrees of the Ministry of Justice 409
[C] Civil Code 409
[D] Code of Civil Procedure 409
[E] EU Legislation 410
[F] Conciliation-Mediation Rules 410
[G] Agreement to Mediate 411

§15.04 Initiating Mediation 411
[A] Mediation Clauses 411
[B] Persuasion to Mediate 412
[C] Mandatory Mediation 412
[D] Relevant Articles of the Code of Civil Procedure 415
[E] Financial Motivation 415
[F] Disputes Considered Suitable for Mediation 417

§15.05 Process 417
[A] Agreement to Mediate 418
[B] Appointment of a Mediator 418
[C] Remuneration of Mediators 418
[D] Conclusion of the Mediation Process 420

§15.06 Recognition and Accreditation of Mediators 420
[A] Requirements of Professional Mediator Recognition 420
[1] Requirements for Out-of-Court Mediators: Natural Persons 421
[2] Requirements for Out-of-Court Mediators: Legal Entities 422
[3] Requirements for Court-Based Mediators 422
[B] Maintaining Standards 423
[C] Implications of Mediator Credentialing for Practice 423
[D] Public Access to Information on Certified Mediators 423

§15.07 Confidentiality and Admissibility of Mediation Evidence 424
[A] Insider/Outsider Confidentiality 424
[B] Insider/Insider Confidentiality 425
[C] Insider/Court Confidentiality 425

§15.08 Rights and Obligations 425
[A] Mediators 426
[B] Before Mediation 426
[C] During the Mediation Process 427
[D] Following the Conclusion of Mediation 427
[E] Lawyers 428
[F] Parties 428
[G] Others 429

§15.09 Enforceability of Mediated Outcomes 429
[A] Enforcement of Mediated Settlement Concluded in Hungary 429
[1] Contract 429
[2] Court Approved Settlement 430
[3] Notarial Deed 431
## Table of Contents

<table>
<thead>
<tr>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>[4] Mediated Settlement Agreement in the Form of an Arbitral Award</td>
<td>431</td>
</tr>
<tr>
<td>[B] Enforcement of Mediated Settlement Agreement Concluded Outside of Hungary</td>
<td>432</td>
</tr>
<tr>
<td>§15.10 Limitation Periods</td>
<td>432</td>
</tr>
<tr>
<td>§15.11 Future Developments</td>
<td>433</td>
</tr>
<tr>
<td><strong>CHAPTER 16</strong></td>
<td></td>
</tr>
<tr>
<td>Ireland</td>
<td></td>
</tr>
<tr>
<td><em>Sabine Walsh</em></td>
<td>435</td>
</tr>
<tr>
<td>Editors’ Note</td>
<td>435</td>
</tr>
<tr>
<td>Regulatory Robustness Rating for Mediation</td>
<td>436</td>
</tr>
<tr>
<td>§16.01 Basic Terms and Definition</td>
<td>440</td>
</tr>
<tr>
<td>§16.02 Sources of Mediation Regulation</td>
<td>440</td>
</tr>
<tr>
<td>[B] Domestic Legislation, Court Rules &amp; Practice Directions</td>
<td>441</td>
</tr>
<tr>
<td>[C] Case law</td>
<td>443</td>
</tr>
<tr>
<td>§16.03 Initiating Mediation</td>
<td>443</td>
</tr>
<tr>
<td>[A] Types of Disputes Considered Suitable for Mediation</td>
<td>443</td>
</tr>
<tr>
<td>[3] Order 19 A Circuit Court Rules</td>
<td>448</td>
</tr>
<tr>
<td>§16.04 Process</td>
<td>450</td>
</tr>
<tr>
<td>§16.05 Recognition and Accreditation of Mediators</td>
<td>451</td>
</tr>
<tr>
<td>§16.06 Confidentiality and Admissibility of Mediation Evidence</td>
<td>455</td>
</tr>
<tr>
<td>[A] Insider/Outsider Confidentiality</td>
<td>456</td>
</tr>
<tr>
<td>[B] Insider/Insider Confidentiality</td>
<td>456</td>
</tr>
<tr>
<td>[C] Insider/Court Confidentiality</td>
<td>457</td>
</tr>
<tr>
<td>§16.07 Rights and Obligations of Mediators and Participants in Mediation</td>
<td>459</td>
</tr>
<tr>
<td>[A] Mediators</td>
<td>459</td>
</tr>
<tr>
<td>[B] Lawyers</td>
<td>460</td>
</tr>
<tr>
<td>[C] Parties</td>
<td>460</td>
</tr>
<tr>
<td>[D] Others</td>
<td>461</td>
</tr>
<tr>
<td>§16.08 Enforceability of Mediated Outcomes</td>
<td>461</td>
</tr>
<tr>
<td>§16.09 Limitation Periods</td>
<td>462</td>
</tr>
<tr>
<td>§16.10 Future Developments</td>
<td>462</td>
</tr>
</tbody>
</table>
CHAPTER 17
Italy
Carlo Mastellone & Laura Ristori

Editors’ Note
Regulatory Robustness Rating for Mediation
§17.01 Introduction
§17.02 Definition of a Cross-Border Dispute
§17.03 Sources of Mediation Regulation
§17.04 Initiating Mediation
[A] Mandatory Pre-trial Mediation
[B] Mediation Ordered by the Judge
[C] Mediation Clauses
[D] Lawyers’ Obligations Concerning Mediation
[1] Ethical Duty
[2] Legal Duty
$\text{§17.05 Mediation Process}$
[A] Key Features of the Mediation Process in Italy
[1] The Significance of the ‘First Meeting’
[2] Court-Ordered Mediation
[3] Consequences of Refusal to Go to Court Ordered Mediation
[4] Decisions by Tribunals on Court-Ordered Mediation
[5] Tax Incentives
[B] Other Issues
[C] Some Process Regulations Apply in All Instances
[D] Other General Issues
[E] Selection of Mediators
§17.06 Recognition/Credentialing/Accreditation of Mediators
[A] Individual Mediators
[B] Mediator by Law
[C] Non-lawyer Mediator
[D] Maintaining the Qualification of Accredited Mediator
[E] Mediation Organisations
§17.07 Confidentiality and Admissibility of Mediation Evidence
§17.08 Mediated Outcomes and Enforceability
§17.09 Effect on Statutes of Limitation
§17.10 Duties and Obligations, Liability Issues

CHAPTER 18
Latvia
Dana Rone

Editors’ Note
Regulatory Robustness Rating for Mediation
§18.01 Introduction
Table of Contents

§18.02 Basic Terms and Definitions 497
§18.03 Sources of Mediation Regulation 498
    [A] International Law 498
    [B] Domestic Legislation 498
§18.04 Initiation of Mediation 499
    [A] Mediation Triggers 499
        [1] ‘Mediation Contract’ and Mediation Clauses 499
        [2] Court Referral 500
    [B] Types of Disputes Considered Suitable for Mediation 500
§18.05 Process 501
§18.06 Recognition and Accreditation of Mediators 502
    [A] Requirements for Professional Mediator Recognition 502
        [1] Prerequisites 502
        [2] Certification Standards 503
        [3] Loss of Accreditation 504
    [B] Implications of Certification for Practice 504
    [C] Liability and Immunity 504
    [D] Quality Assurance Mechanisms 504
    [E] Public Access to Information on Certified Mediators 505
§18.07 Confidentiality and Admissibility of Mediation Evidence 505
    [A] Insider/Outsider Confidentiality 505
    [B] Insider/Insider Confidentiality 506
    [C] Insider/Court Confidentiality 506
§18.08 Rights and Obligations 506
    [A] Mediators 506
    [B] Lawyers 507
    [C] Parties 507
    [D] Others 507
§18.09 Enforcement of Mediated Outcomes 507
§18.10 Limitation Periods 507
§18.11 Future Developments 508

CHAPTER 19
Lithuania
Virgilijus Valanciūs 509

Editors’ Note 509
Regulatory Robustness Rating for Mediation 510
§19.01 Introduction 512
§19.02 Basic Terms and Definitions 513
§19.03 Sources of Mediation Regulation 514
§19.04 Initiating Mediation 516
§19.05 Process 518
§19.06 Recognition/Credentialing/Accreditation of Mediators 520
§19.07 Confidentiality and Admissibility of Mediation Evidence 522
[A] Insider/Outsider Confidentiality 522
[B] Insider/Insider Confidentiality 523
[C] Insider/Court Confidentiality 523

§19.08 Mediated Outcomes and Enforceability 524

§19.09 Suspension of Limitation Periods 525

§19.10 Duties and Obligations 526

[A] Duties and Obligations of the Mediator 526
[B] Duties and Obligations of Legal Representatives 527
[C] Duties and Obligations of the Parties to the Dispute 527
[D] Duties and Obligations of Other Participants 527

§19.11 Future Developments 528

CHAPTER 20
Luxembourg
Jan Kayser 529

Editors’ Note 529

Regulatory Robustness Rating for Mediation 530

§20.01 Luxembourg Introduction 532

§20.02 Basic Terms and Definitions 533

§20.03 Main Sources of Mediation Regulation 533

§20.04 Initiating Mediation 534

[A] Extrajudicial Mediation 535
[B] Judicial Mediation 535

§20.05 Disputes Suitable for Mediation 536

§20.06 Regulation of the Mediation Process 536

[A] Rules Applicable to Mediation in General 536
[B] Rules Applicable to Judicial Mediation Only 537
[C] Reimbursement of Mediators and Other Costs 538

§20.07 Recognition and Accreditation of Mediators 538

[A] Requirements of Professional Mediator Recognition 538

[1] Extrajudicial Mediation 538
[3] Private Accreditation 539

[B] Implications of Accreditation for Practice 540

§20.08 Confidentiality and Admissibility of Mediation Evidence 540

[A] Insider /Outsider Confidentiality 541
[B] Insider/ Insider Confidentiality 541
[C] Insider/Court Confidentiality 541

§20.09 Rights and Obligations of Mediators and Participants 541

[A] Mediators 542
[B] Lawyers 542
[C] Parties 542
[D] Others 542

§20.10 Enforcement of Mediated Outcomes 542

xxxviii
## Table of Contents

- **§20.11 Limitation Periods** 544
- **CHAPTER 21**
  - Malta
  - *Adrian Delia & Michael Muscat* 545
  - Editors’ Note 545
  - Regulatory Robustness Rating for Mediation 546
  - §21.01 Introduction 548
  - §21.02 Basic Terms and Definitions 549
  - §21.03 Sources of Mediation Regulation
    - [A] Mediation Act 550
    - [B] Other Sources of Mediation Regulation 551
  - §21.04 Initiating Mediation
    - [A] Mediation Triggers 552
    - [B] Types of Disputes Considered Suitable for Mediation 553
  - §21.05 Process
    - [A] Initiation of the Mediation Process 554
    - [B] Termination of the Mediation Process 554
    - [C] Principles of the Mediation Process 554
    - [D] Mediators Remuneration and Registration Fees 554
  - §21.06 Recognition and Accreditation of Mediators 555
  - §21.07 Confidentiality and Admissibility of Mediation Evidence
    - [A] Insider/Outsider Confidentiality 556
    - [B] Insider/Insider Confidentiality 556
    - [C] Insider/Court Confidentiality 557
      - [1] Admissibility of Evidence 557
      - [2] Compulsion of Mediators to Act as Witness 557
  - §21.08 Rights and Obligations
    - [A] Mediators 558
      - [1] Impartiality and Independence 558
    - [B] Lawyers 560
    - [C] Parties 560
    - [D] Others 561
  - §21.09 Enforcement of Mediated Outcomes 561
  - §21.10 Limitation Periods 562
  - §21.11 Future Developments 562

- **CHAPTER 22**
  - The Netherlands
  - *Machteld Pel* 563
  - Editors’ Note 563
  - Regulatory Robustness Rating for Mediation 564
  - §22.01 Introduction 567

XXXIX
§22.02 Basic Terms and Definitions
[A] Cross-Border Disputes 568
[B] Mediation 568
[C] Mediator 568

§22.03 Sources of Mediation Regulation
[A] Cross-Border Mediation Law 569
[B] Draft Mediation Bill 569
[C] Civil Procedure Law 569
[D] Other legislation 569
[E] Case law 570
[F] Institutional Rules 570
[1] Netherlands Mediation Institute and Quality Foundation of Mediators 570
[2] Netherlands Arbitration Institute 571

§22.04 Initiating Mediation
[A] Referral by Judge 571
[B] Referral by the Legal Desk 572
[C] Advice of Lawyers or Advisers 572
[D] Mediation Advised by Medical Officers in Labour Cases 573
[E] Mediation Clauses 573
[F] Disputes Considered Suitable for Mediation 574

§22.05 Process
[A] Appointment of Mediator 575
[B] Agreement to Mediate 575
[C] Procedural Rules 576
[D] Voluntariness and Privacy of Mediation 576
[E] Termination of Mediation 576

§22.06 Recognition and Accreditation of Mediators
[A] Requirements for Court Related Mediation 577
[B] Register of Mediators Kept by QFM 578
[C] Implications of Mediation Accreditation for Practice 578
[D] Quality Assurance Mechanisms 579
[E] Public Access to Information on Certified Mediators 579

§22.07 Confidentiality and Admissibility of Mediation Evidence
[A] Insider/Outsider Confidentiality 579
[B] Insider/Insider Confidentiality 580
[C] Insider/Court Confidentiality 581

§22.08 Rights and Obligations
[A] Obligations on the Mediator 581
[B] Obligations on Lawyers 582
[C] Obligations on Parties 583
[D] Obligations on Others 583

§22.09 Enforcement of Mediated Outcomes
[A] Directly Enforceable Mediated Settlement Agreements 584
## Table of Contents

[B] Enforcement in Form of an Arbitral Award 584  
§22.10 Limitation Periods 584  
§22.11 Future Developments 584  

**CHAPTER 23**  
Northern Ireland  
*Brian Speers* 587  

Editors’ Note 587  
Regulatory Robustness Rating for Mediation 588  
§23.01 Introduction 591  
§23.02 Basic Terms and Definitions 592  
§23.03 Sources of Mediation Regulation 592  
§23.04 Initiating Mediation 593  
§23.05 Process 596  
§23.06 Training and Accreditation of Mediators 597  
§23.07 Confidentiality and Admissibility of Evidence 598  
§23.08 Mediated Outcomes and Enforceability 599  
§23.09 Duties and Obligations 600  

**CHAPTER 24**  
Poland  
*Rafal Morek* 601  

Editors’ Note 601  
Regulatory Robustness Rating for Mediation 602  
§24.01 Introduction 604  
§24.02 Basic Terms and Definitions 605  
§24.03 Sources of Mediation Regulation 605  
[A] Legislation 605  
[B] Codes of Conduct and Other Standards 607  
[C] Private Regulation 607  
§24.04 Initiating Mediation 608  
[A] Court Referral 608  
[B] Agreement to Mediate (Relating to Existing or Future Disputes) 609  
[C] Judicial Quasi-Mediation 610  
[D] Professional Duties of Lawyers 610  
§24.05 Process 611  
[A] Commencement of the Mediation 612  
[B] Use of Private Sessions 613  
[C] Mediator Acting as Arbitrator 613  
[D] Co-mediation 613  
[E] Payment of Mediator 614  
§24.06 Recognition/Credentialing/Accreditation of Mediators 614  
§24.07 Confidentiality and Admissibility of Mediation Evidence 618
Table of Contents

§24.08 Mediated Outcomes and Enforceability 619
§24.09 The Impact of Mediation on Litigation Limitation Periods 619
§24.10 Duties and Obligations 620
§24.11 Future Development 621

CHAPTER 25
Portugal
Miguel Cancella d’Abreu & Sabine Walsh 623

Editors’ Note 623
Regulatory Robustness Rating for Mediation 624
§25.01 Introduction 627
§25.02 Basic Terms and Definitions 627
§25.03 Initiating Mediation 628
[A] Mediation Clauses and Agreements to Mediate 628
[B] Court Referral 628
§25.04 Process 629
§25.05 Recognition/Credentialing/Accreditation of Mediators 630
§25.06 Confidentiality and Admissibility of Mediation Evidence 632
§25.07 Mediated Outcomes and Enforceability 632
§25.08 Suspension of Limitation Periods 634
§25.09 Duties and Obligations 634
§25.10 Future Developments 636

CHAPTER 26
Romania
Constantin Adi Gavrila & Sanda Elena Lungu 637

Editors’ Note 637
Regulatory Robustness Rating for Mediation 638
§26.01 Introduction 641
§26.02 Basic Terms and Definitions 641
§26.03 Sources of Mediation Regulation 642
[A] Law on Mediation and the Mediators’ Profession 642
[B] Civil Procedure Code 642
[C] Civil Code 642
[D] Decision of the Constitutional Court 642
[E] Code of Ethics 643
§26.04 Initiating Mediation 643
[A] Mediation Triggers 643
[1] Obligation to Inform 643
[2] Court Referral 644
[3] Agreements to Refer Disputes to Mediation and Mediation Clauses 644
[B] Types of Disputes Considered Suitable for Mediation 645
§26.05 Mediation Process 645
   [A] Basic Principles 645
   [B] Mediation Model 645
   [C] Pre-mediation Phase 645
   [D] Agreement to Mediate 646
   [E] The Role of the Mediator 646
   [F] Presence of Third Parties 647
   [G] Mediators’ Fees and Costs 647
§26.06 Recognition and Accreditation of Mediators 647
   [A] Accreditation Mechanism 648
      [2] Assessment 649
      [4] Suspension and Removal of Accreditation 649
   [B] Foreign Mediators 650
   [C] Implications of Mediator Accreditation for Practice 650
   [D] Quality Assurance Mechanisms 651
   [E] Public Access to Information on Certified Mediators 652
§26.07 Confidentiality and Admissibility of Mediation Evidence 652
   [A] Insider/Outsider Confidentiality 652
   [B] Insider/Insider Confidentiality 653
   [C] Insider/Court Confidentiality 653
§26.08 Rights and Obligations 653
   [A] Mediators 654
   [B] Lawyers 655
   [C] Parties 655
   [D] Others 655
§26.09 Enforcement of Mediated Outcomes 656
   [A] Legal Form of Mediated Settlement Agreements 656
   [B] Enforceability of the Mediated Settlement Agreements 656
§26.10 Limitation Periods 656
§26.11 Future Developments 657

CHAPTER 27
Scotland
Charlie Irvine 659

Editors’ Note 659
Regulatory Robustness Rating for Mediation 660
§27.01 Introduction 663
§27.02 Basic Terms and Definitions 666
§27.03 Sources of Cross-Border Mediation Regulation 667
   [A] International Treaty Law 667
   [B] Legislation 668
   [C] Court Rules and Practice Directions 671
Table of Contents

[D] Industry Standards 673
§27.04 Initiating Mediation 674
  [A] Triggering Mechanisms for Mediation 676
    [1] Employment Tribunals 676
    [2] Other Administrative Tribunals 676
    [3] Small Claims 677
    [4] Family Actions 677
  [B] Contractual Provisions 678
  [C] Indirect Triggers 678

§27.05 Process 678
  [A] Voluntariness (7) 681
  [B] Impartiality, Independence and Neutrality; Conflict of Interest (7) 681
  [C] Competence (6) 682
  [D] Confidentiality (7) 682
  [E] Understanding of Mediation (6) 683
  [F] Advertising and Solicitation; Gifts and Favours (4) 683
  [G] Respect and Non-discrimination (2) 683
  [H] Complaints (4) 683
  [I] Miscellaneous 683

§27.06 Training and Recognition of Mediators 684
§27.07 Locating a Mediator 689
§27.08 Confidentiality and Admissibility of Mediation Evidence 690
§27.09 Mediated Outcomes and Enforceability 691
§27.10 Duties and Obligations 692
§27.11 Conclusion 694

CHAPTER 28
Slovak Republic
Alexandra Kapíšovská, František Kutlík & Tatiana Hambalkova 697

Editors’ Note 697
Regulatory Robustness Rating for Mediation 698
§28.01 Introduction 700
§28.02 Background 701
§28.03 Cross-Border Mediation Practice 702
§28.04 Basic Terms and Definitions 703
§28.05 Sources of Mediation Regulation 704
§28.06 Initiating Mediation 705
  [A] Dispute Categories and Mediation 705
  [B] Agreements to Mediate 706
  [C] Court Referral to Mediation 706
§28.07 The Mediation Process 707
  [A] Codes of Conduct 707
  [B] Payment/Costs 708
§28.08 Registration of Mediators 709
[A] Requirements for Registered Mediators 709
[B] Training of Mediators 710
[C] Lawyers as Registered Mediators 711
[D] Non-registered Mediators 711
[E] Removal of Mediators from the Register 711
[F] The Profile of Practising Mediators 712
§28.09 Confidentiality and Admissibility of Mediation Evidence 712
§28.10 Mediated Outcomes and Enforceability 713
§28.11 Duties and Obligations 714
[A] Duties of Registered Mediators 714
[B] Duties of Lawyers 715
[C] Duties of Parties 716

CHAPTER 29
Slovenia
Aleš Zalar 717

Editors’ Note 717
Regulatory Robustness Rating for Mediation 718
§29.01 Introduction 720
§29.02 Basic Terms and Definitions 721
§29.03 Sources of Mediation Regulation 722
[A] International Sources 723
[B] Domestic Sources 723
§29.04 Initiating Mediation 724
§29.05 Process 727
§29.06 Recognition and Accreditation of Mediators 729
§29.07 Confidentiality and Admissibility of Mediation Evidence 733
§29.08 Mediated Outcomes and Enforceability 734
§29.09 Limitation Periods 735
§29.10 Duties and Obligations 736

CHAPTER 30
Spain
Mercedes Tarrazón & Marian Gili Saldaña 739

Editors’ Note 739
Regulatory Robustness Rating for Mediation 740
§30.01 Introduction 742
§30.02 Basic Terms and Definitions 744
[A] Mediation 744
[B] Cross-Border Disputes 744
[C] Mediator 744
[D] Mediation Institutions 745
Table of Contents

[E] Out-of-Court and Judicial Mediation 745
§30.03 Sources of Mediation Regulation 745
[A] The Act 5/2012 745
[B] Legislation Supplementing Act 5/2012 746
[C] Civil Procedure Act 747
[D] Legislation on Mediation in Specific Matters 747
[E] Codes of Conduct 747
§30.04 Initiating Mediation 748
[A] Mediation Triggers 748
[1] Mediation Clauses 748
[3] Court Recommendation 750
[B] Types of Disputes Suitable for Mediation 750
§30.05 Process 750
[A] Initial Stage of Mediation 751
[B] Termination of Mediation 751
[C] Simplified Online Mediation Procedures 752
[D] Fees and Costs 752
§30.06 Recognition and Accreditation of Mediators 752
[A] National Level Recognition 753
[1] Full Legal Capacity 753
[2] Education 753
[3] Insurance Policy 754
[B] Quality Assurance Mechanisms 754
[C] Public Access to Information on Certified Mediators 754
§30.07 Confidentiality and Admissibility of Mediation Evidence 756
[A] Insider/Outsider Confidentiality 756
[B] Insider/Insider Confidentiality 756
[C] Insider/Court Confidentiality 756
§30.08 Rights and Obligations 756
[A] Mediators 756
[1] Impartiality and Neutrality 757
[2] Competence and Duties During Mediation 757
[3] Liability 757
[B] Parties 758
§30.09 Enforcement of Mediated Outcomes 758
§30.10 Limitation Periods 758
§30.11 Future Developments 759

Chapter 31
Sweden
Bengt Lindell 761

Editors’ Note 761
Regulatory Robustness Rating for Mediation 762

xlvii
§31.01 Introduction 764
§31.02 Basic Terms and Definitions 766
  [A] Mediation 766
  [B] Mediated Settlement Agreement 767
§31.03 Sources of Mediation Regulation 767
  [A] Mediation Act 767
  [B] Code of Judicial Procedure 768
  [C] Private Regulations 768
  [D] European Code of Conduct for Mediators 769
§31.04 Initiating Mediation 769
  [A] Mediation Triggers 769
    [1] Court Referral 769
    [3] Request for Mediation 770
  [B] Disputes Considered Suitable for Mediation 771
§31.05 Process 771
  [A] Initiation of Mediation and Agreement to Mediate 771
  [B] Appointment of the Mediator 772
  [C] Conduct of Proceedings 772
  [D] Termination of Mediation 773
§31.06 Recognition and Accreditation of Mediators 773
§31.07 Confidentiality and Admissibility of Mediation Evidence 774
  [A] Insider/Outsider Confidentiality 774
  [B] Insider/Insider Confidentiality 774
  [C] Insider/Court Confidentiality 775
§31.08 Rights and Obligations 775
  [A] Mediators 775
  [B] Lawyers 776
  [C] Parties 776
§31.09 Enforcement of Mediated Outcomes 776
  [A] Enforcement According to the Mediation Act 776
  [B] Enforcement According to Institutional Rules 777
§31.10 Limitation Periods 777
CHAPTER 1
Introducing Regulatory Robustness Ratings for Mediation Regimes in the EU

Nadja Alexander

§1.01 THE EU AND CROSS-BORDER MEDIATION: SELECTING GOVERNING LAW

As mediation in the EU seeks to claim a larger slice of the cross-border dispute resolution pie, an increasingly important question for legal advisers to ask themselves is: which jurisdiction offers the best legal framework to support a potential future mediation of my client’s dispute?

This book is about the relationship between law and cross-border mediation in the Member States of the European Union. The ability to select the applicable law in international transactions allows well-resourced parties to choose a law tailored to their specific needs. In a survey of 175 businesses across Europe, two-thirds considered the ability to make a choice of law from different legal systems to be an advantage.¹

Consider the situation of a multinational corporation doing business with numerous commercial partners around the globe. The legal division advises on the insertion of a dispute resolution clause with mediation as a central component. But what about the choice of governing law and related matters?

In relation to international trade, research indicates that business people and lawyers typically select places and regions with which they are familiar as the basis for

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¹ This chapter was written by Nadja Alexander with substantive input from co-editors Sabine Walsh and Martin Svatos. Many thanks to Geoff Sharp and Michael McIlwrath for their feedback on an early version of the RRR system.

the governing law clauses; this is referred to as the status quo bias. For example, the lawyer working on a dispute resolution clause for the multinational corporation might select the law of the organisation’s headquarters for all its mediation clauses. Alternatively, she might select another well-known jurisdiction in the region that has been the standard home for governing law in the organisation’s arbitration (not mediation) clauses for decades. Further, if she is trained and practised in the common law method, she may have a bias towards common law jurisdictions. Other factors that are said to influence the choice of law in favour of a particular jurisdiction include the quality of the judiciary, the expertise of the courts in particular types of international disputes, the absence of corruption, the presence of witnesses in the selected jurisdiction and the efficiency and cost-effectiveness of litigation.

But what if these jurisdictions did not have the best laws to support a mediation process? What if, for example, the laws on non-admissibility of mediation evidence in court were unclear? What if the attitude of the courts, while strong and clear in relation to arbitration, remained uncertain and unpredictable in relation to mediation?

Making a choice about the governing law for a mediation clause should never be a default reaction on the part of a legal adviser. Clients expect their advisers to offer reasoned, researched and rational advice. Such advice will take into account a wide range of factors including familiarity and others referred to previously, as well as factors particular to the circumstances of the transaction such as the jurisdiction where the client is located, where the transaction takes place and where a mediated settlement agreement might need to be enforced. Additionally, legal advisers must have a good sense of the law applicable to mediation processes, the possible outcomes in these jurisdictions and how these might support or hinder their clients’ interests. Getting a grasp of the applicable mediation law is no easy task, especially given the:

- relatively short experience of lawyers with cross-border mediation compared to arbitration;
- fast pace of development in the mediation regulatory environment; and
- absence of a uniform mediation regulatory regime, especially in relation to cross-border matters.

This book addresses this issue in two ways. First, the law of mediation in each EU Member State is presented and analysed on a chapter-by-chapter basis: twenty-eight Member States, at the time of writing, and thirty chapters – England & Wales, Scotland and Northern Ireland are presented in separate chapters rather than in one chapter on the UK – to examine their respective mediation regimes in detail. In addition, the book offers a comparative analysis of the mediation regimes of the EU Member States presented by means of a system called the Regulatory Robustness Rating (also referred to as ‘RRR’) System. As the name suggests, the RRR System offers jurisdictions a series of ratings according to the perceived robustness of their regulatory framework in

relation to cross-border mediation. The Regulatory Robustness Ratings in this book have been determined by the editors on the basis of the analysis of mediation law offered in each of the jurisdictional chapters.

The RRR System helps legal advisers and other users of cross-border mediation processes to quickly attain an understanding of the main relevant features of the regulatory environment in which the mediation will take place. It does not aim to offer a comprehensive and complete analysis of the law on (cross-border) mediation on a jurisdictional basis. Instead, it identifies potential strengths and weaknesses of the regulatory regime for cross-border mediation and offers a starting point for further targeted research.

§1.02 THE REGULATORY ROBUSTNESS RATING SYSTEM

The Regulatory Robustness Rating (RRR) System is based on a set of assumptions about what makes good mediation law and what makes a jurisdiction attractive for mediation purposes in terms of its regulatory framework (see Table 1.2 the Mediation Star Matrix). It relies on twelve criteria to analyse the regulatory robustness of a jurisdiction’s legal framework for cross-border mediation. These criteria are primarily legal-regulatory in nature. In addition, as the robustness of a legal framework is inextricably linked to its institutions such as courts and dispute resolution organisations, basic institutional and infrastructure criteria relevant to mediation have also been included in the RRR System.

The editors recognise that there will inevitably be additional institutional, political, socio-economic and cultural factors that influence how laws are interpreted and applied. These factors are beyond the scope of the RRR System. However, such data can be accessed through numerous existing analytical reports, and these can be used in conjunction with the RRR.4

Another significant point for readers to keep in mind is that the EU Member States represent not only civil law legal systems (the vast majority) but also the common law systems of England & Wales, Scotland, Northern Ireland (collectively the UK) and Ireland. As a result, there will be fundamentally different approaches to regulating certain aspects of mediation, for example the common law concept of privilege to address insider/court confidentiality as between parties to a mediation is not known to the civil law tradition. Therefore, as Smits’ research indicates, one’s level of familiarity with a particular legal system and one’s potential implicit bias against a different legal system will play at least a subliminal role in the selection of governing law and jurisdiction.5

Regardless of the type of legal system, it is important to clarify how the term ‘law’ is defined here. In the RRR System ‘law’ is understood broadly to encompass diverse regulatory forms beyond legislation. Legislation, case law, practice directions, codes of

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conduct, standards and other regulatory instruments on mediation determine how mediation is understood and applied by a range of actors, including referring bodies such as courts, dispute resolution organisations, mediators and legal advisers and by the parties themselves. Thus the notion of law extends to soft law options and private contracting (e.g., mediation agreements and mediation clauses) and industry norms (e.g., codes of conduct, practice standards, and accreditation standards).

This broad understanding of law is consistent with contemporary regulatory theory, which has shifted its focus from government rulemaking to the context of institutions and interest groups. Moreover, it is also consistent with the EU Directive, which envisages compliance by EU Member States through a wide range of regulatory forms. The recitals clearly recognize different forms of regulation of mediation including industry and institutional regulation (recital 14), specifically referring to the European Code of Conduct for Mediators and market-based solutions (recital 17). Recital 16 encourages Member States to ensure that appropriate quality control mechanisms for mediation services are in place. Article 4 of the Directive requires Member States to encourage mediators and mediation organizations to adhere to voluntary codes of conduct and other quality control mechanisms.

§1.03 HOW THE RRR SYSTEM WORKS

The RRR System is based upon twelve criteria and these are set out in detail below. Jurisdictions are given a star rating of up to five stars (highest score) in relation to each criterion. So, for example, a country might receive three stars (★★★★) for criterion 1 and four stars (★★★★★) for criterion 2, two stars (★★) for criterion 3 and so on. A half-star rating (★½) may also be awarded. Not all criteria carry equal weight. Some are likely to hold greater importance than others for users of mediation. For this reason, a weighting system has been introduced, with a weighting of three units allocated to high priority items, a weighting of two units for those considered to be of moderate importance, and a weighting of one unit for criteria that are desirable but not a priority for users. For example, the enforceability of mediated settlement agreements is generally considered a matter of high importance for users, so it receives a weighting of three units. In contrast the congruence of domestic and international legal frameworks is a desirable regulatory feature but likely to be viewed as less essential from a user’s perspective; accordingly it receives a weighting of one unit. Therefore, once a star rating is allocated to a particular criterion, it will be multiplied by the weighting factor to receive the

Regulatory Robustness Rating for that criterion. Take for example, a criterion with a four-star rating:

- a weighting of one unit would result in a Regulatory Robustness Rating of four points;
- a weighting of two units would result in a Regulatory Robustness Rating of eight points;
- a weighting of three units would result in a Regulatory Robustness Rating of twelve points.

It is important to note that there is no total Rating computed for a jurisdiction. Although this may seem like an obvious next step (i.e., to add up the RRR scores for each criterion), such an approach is likely to divert attention away from the merits of specific criteria in favour of a much less informative, and arguably misleading, overall Rating. The aim of the RRR System is to encourage users and other regulatory stakeholders to look closely and critically at mediation regulatory regimes in order to make informed choices and develop appropriate strategies in relation to the law that governs their mediation. Accordingly, a set of twelve Ratings is presented for each jurisdiction.

The Regulatory Robustness Rating System will now be examined in detail. In the next section, the twelve criteria will be introduced along with the value propositions underpinning them. Following this, the benchmarks for the initial star ratings are provided. This is presented by means of a detailed rubric called the Mediation Star Matrix. Finally, the application of the Regulatory Robustness Rating System as it is used throughout this book is explained.

§1.04 TWELVE CRITERIA OF THE REGULATORY ROBUSTNESS RATING SYSTEM

The twelve criteria upon which the RRR System is based are set out below in tabular form. These criteria and the assumptions underpinning them are explained. In addition, the criteria are weighted according to their importance from a user perspective. The weighting scale is 1 to 3, with the higher number providing a higher weighting. Together these elements form the foundations of the RRR System and inform the Ratings given to each jurisdiction.
<table>
<thead>
<tr>
<th>Criterion No.</th>
<th>Descriptor</th>
<th>Underlying Principles</th>
<th>Weighting</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Congruence of domestic and international legal frameworks</td>
<td>Here the view is taken that domestic and international legal frameworks for cross-border mediation are useful and robust if they are congruent rather than wholly or partially separate. In disputes where domestic and cross-border elements are present in the same dispute or in related disputes, it would make mediation potentially difficult if different laws were applicable to domestic and cross-border aspects in the same mediation. Mediation promises users the flexibility to address related disputes together in one mediation process and to address issues which may not technically form part of the legal statement of claim. This aspect of mediation is made significantly easier if domestic and international mediation legal frameworks are identical or harmonised.</td>
<td>1</td>
</tr>
<tr>
<td>2</td>
<td>Transparency and clarity of content of mediation laws in relation to:</td>
<td>A robust legal framework is considered to be one, which contains mediation law that is readily identifiable and accessible for local and foreign lawyers and users in all four listed content areas. The ease with which foreign lawyers can identify and access the cross-border mediation law of another jurisdiction is highly relevant as foreign lawyers usually have the right to participate in mediation (and this is also the case for arbitration) in jurisdictions other than their own.</td>
<td>2</td>
</tr>
<tr>
<td></td>
<td>1. how mediation is triggered;</td>
<td></td>
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<td>2. the internal process of mediation;</td>
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<td>3. standards and qualifications for mediators;</td>
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<td>4. rights and obligations of participants in mediation</td>
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<td>3</td>
<td>Mediation infrastructure and services: quality and access</td>
<td>The greater the access to quality mediation services and information, the more attractive the jurisdiction is considered as a mediation venue in terms of ability of a wide range of users to access, and to be able to afford, suitable mediation services of a high quality. Relevant factors here include:</td>
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<td>Criterion No.</td>
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| 4 | Access to internationally recognised and skilled local and foreign mediators | Cross-border mediation comes in all shapes and forms and the needs of its users will vary from case to case. Sometimes parties will select the venue and applicable law from jurisdiction A and the mediator from jurisdiction B. The question may then arise: to what extent can foreign mediators selected by the parties practise in the jurisdiction of the mediation and be recognised under its legal framework? This can be important in jurisdictions in which certain aspects of mediation legislation (such as mediated settlement agreement enforceability options or confidentiality provisions) only apply to mediations conducted by a recognised mediator. According to the RRR system, best practice in mediation means that users mediating in a given jurisdiction have access to an internationally recognised pool of local and foreign mediators, who are:  

- both appropriately qualified and skilled; and
- permitted to work across mediation services in the jurisdiction. | 2 |
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<th>Criterion No.</th>
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<td>This criterion is often achieved through recognition of prior (foreign) mediator qualifications and/or through a system of mutual recognition among jurisdictions. Business leaders such as Deborah Masucci, former Head of the American International Group Inc’s (AIG) Employment Dispute Resolution Program, have publicly endorsed the need for a pool of internationally recognised mediators who carry with them a trust mark of competence, skill and experience and the backing of reputable organisations.⁹</td>
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</table>
| 5            | Enforceability of mediation and multi-tiered dispute resolution (MDR) clauses | A robust regulatory framework in relation to mediation and MDR clauses typically features:  
- formal generally applicable regulation (e.g., legislation) specifically supporting the enforceability of mediation and MDR clauses, as is the norm in relation to arbitration clauses;  
- clear, consistent jurisprudence supportive of the enforceability of mediation and MDR clauses. | 3         |
| 6            | Certain and predictable regulation of:  
- insider/outsider confidentiality with some flexibility  
- insider/court confidentiality | Both insider/outsider confidentiality and insider/court confidentiality traverse the interface between the mediation process and the broader legal system. The former deals with the extent to which participants in mediation (insiders) can share information from the mediation with others who did not attend the mediation (outsiders); the latter deals with the issue of admissibility of evidence from the mediation session in subsequent proceedings. The underlying assumption for criterion 6 is that it is desirable to have a uniform approach to mediation participants’ rights and obligations in relation to | 2         |

⁹. See comments by business leaders such as Masucci at www.imimediation.org.
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<th>Criterion No.</th>
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<td>Confidentiality, while at the same time respecting the principle of party autonomy. Furthermore, the integrity of the mediation process requires that participants be held accountable for their behaviour in mediation – for example, that parties participate in good faith and do not engage in behaviour such as misrepresentation or other conduct amounting to a contract defence. To this end, confidentiality provisions must be balanced with certain exceptions. Further, it is important that regulation covers all relevant mediation participants and not just the mediators. In relation to insider/outsider confidentiality, best practice can be achieved by a uniform default approach. A generally applicable default standard (e.g., legislation) generates certainty and uniformity, while allowing parties to make an informed choice to opt-out and make their own variations. Variations can be reflected in the terms of parties' mediation agreements and these are recognised and enforced by the courts. In relation to insider/court confidentiality, there is an overarching need for predictability and certainty in relation to the (non-)admissibility of evidence. For this reason, generally applicable formal mandatory regulation (e.g., legislation) is desirable. Parties cannot opt-out of the general rule. However, certain exceptions provide for accountability of those who participate in mediation processes including mediators, lawyers and parties.</td>
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7 Informed self-regulation of insider/insider confidentiality Insider/insider confidentiality relates to the internal conduct of the mediation process and therefore party autonomy and flexibility are higher order principles than uniform regulation. These considerations suggest a self-regulatory
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<td>approach in relation to criterion 7, which differs from insider/outsider confidentiality (criterion 6) and insider/court confidentiality (criterion 6).</td>
<td>A self-regulatory approach permits informed parties to tailor insider/insider confidentiality to meet their procedural needs. In so far as there are formal regulations on insider/insider confidentiality in legislation, court rules or other regulatory forms, these are default in nature (i.e., subject to different arrangements by the parties). It is good practice to draw on institutional 'standard' provisions on insider/insider confidentiality that can be included into, and adapted for, written mediation agreements. It is also good practice that written mediation agreements expressly provide for insider/insider confidentiality on a case-by-case basis.</td>
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<td>8</td>
<td>Enforceability of mediated settlement agreements (MSAs) and international mediated settlement agreements (IMSAs)</td>
<td>There is a range of legal forms for MSAs/IMSAs e.g., contract, settlement deed, notarised deed, special mediation deed, arbitral consent award, court order. A robust regulatory system is one which offers users a real choice about the legal form of their mediated settlement agreement and effective options for (expedited) enforceability. To this end, there are clear and transparent criteria that apply for the recognition and enforcement of MSAs/IMSAs in their various forms.</td>
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<td>Criterion No.</td>
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<td>9</td>
<td>Impact of commencement of mediation on litigation limitation periods</td>
<td>Mediation is often recommended to parties on the basis that they have nothing to lose in terms of their legal rights and remedies – aggrieved parties can always pursue their rights in court should mediation not result in a resolution. Such promises assume, <em>inter alia,</em> that permitted time periods for parties to lodge their claims do not expire during the course of the mediation with the result that the claim cannot be heard in post-mediation proceedings. In addition, where parties are compelled to comply with mediation clauses, there is a strong argument that this compliance should not prejudice them in terms of the time available to prepare and lodge documents to initiate legal proceedings and comply with other relevant time periods. Finally, allowing limitation periods to run during mediation could have the effect of encouraging respondent parties to participate in, or even initiate, mediation for the primary purpose of delaying initiation of court proceedings in the hope that the limitation period expires before the mediation avenue is exhausted. For these reasons, robust regulatory regimes will provide for the efficient and effective suspension or interruption of legal proceedings/litigation limitation periods without any detriment to the rights of the parties once mediation has commenced. Suspension occurs either automatically or with a simple notification procedure.</td>
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<td>Criterion No.</td>
<td>Descriptor</td>
<td>Underlying Principles</td>
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<td>10</td>
<td>Relationship of the courts to mediation</td>
<td>Where courts support mediation programmes, judges tend to understand the nature of the mediation process well, and this is likely to be reflected in judicial decisions on mediation issues from enforceability to confidentiality. Accordingly, the relationship of the courts to mediation is a relevant factor when studying regulatory robustness. Jurisdictions would rate well on this criterion if mediation is integrated with, or aligned to, the court system such that most courts have mediation programmes which promote a formal, effective and transparent referral process to mediation.</td>
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<td>11</td>
<td>Regulatory incentives for legal advisers to engage in mediation</td>
<td>Legal advisers play a key gatekeeper role in the development of mediation practice and mediation law. The more experience lawyers have with mediation, the more likely they are to be able to competently draft and interpret mediation clauses, agreements and MSAs and advise clients in relation to mediation law, and the more likely they are to direct appropriate cases into mediation in the first place. To this end a robust regulatory regime offers a range of transparent, highly effective regulatory incentives for legal advisers to inform clients about, and engage with, the mediation process. Incentives comprise both soft and hard regulatory forms and some incentives include sanctions for breach.</td>
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<td>12</td>
<td>Attitude of courts to mediation (based on case law/jurisprudence)</td>
<td>Regulation is much more than provisions written into a law, a code or a contract. Regulation comes to life through its application by parties, lawyers, and the courts. This criterion considers the extent to which the courts of a given jurisdiction support mediation in terms of:</td>
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<td>- generating a clear line of judgments which clarify the law around mediation;</td>
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<td>- recognising properly drafted mediation and multi-tiered dispute resolution clauses, mediated settlement agreements and other contractual documents;</td>
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<td>- recognising the importance of confidentiality as a central tenet of the mediation process, and</td>
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<td>- other mediation factors.</td>
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Here a high regulatory robustness rating, reflects a court system that uniformly recognises and is prepared to enforce mediation agreements, MSAs/iMSAs and other mediation protocols and processes. It is difficult for jurisdictions with little or no jurisprudence on mediation issues to achieve a high score on this criterion. To some extent this reflects the nascent nature of mediation law and the uncertainty that this stage of its development necessarily brings with it.
§1.05 THE MEDIATION STAR MATRIX

The Mediation Star Matrix is a rubric that builds on the value propositions set out in the previous section. It sets out benchmarks for the twelve Ratings given to each of the EU jurisdictions throughout this book and communicates expectations of quality around regulatory performance on each of the twelve criteria, thereby setting consistent standards for allocating star Ratings. Readers examining the Regulatory Robustness Ratings of one EU Member State may refer to the Matrix below in order to develop a more coherent understanding of what each Rating means and how it fits into the bigger regulatory picture.

As indicated previously, each of the twelve criteria is allocated a star Rating on a sliding scale from one to five. One star represents the lowest star Rating possible and five stars represents the highest. A description is offered for each possible star Rating (one, two, three, four or five stars) for each of the twelve criteria. There are five different star Ratings for each of the twelve criteria of the Regulatory Robustness Rating System, thus resulting in sixty benchmarking descriptive statements.

Table 1.2 presents the Mediation Star Matrix. On the far left-hand side, the first column identifies the relevant criterion and its allocated weighting as introduced in the previous section. The second column contains the benchmark descriptive statement for an allocation of five stars in relation to its corresponding criterion, the next column a benchmark descriptive statement for four stars, and so on until the sixth and final column, which contains the benchmark descriptive statement for an allocation of one star.
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<thead>
<tr>
<th>Criteria</th>
<th>★★★★★</th>
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<tr>
<td>1. Congruence of domestic and international legal frameworks</td>
<td>Specific, comprehensive legal frameworks exist for domestic and international mediation. These frameworks are fully integrated and identical.</td>
<td>Specific, detailed legal frameworks exist for domestic and international mediation. These frameworks are mostly integrated and with high levels of congruence.</td>
<td>Specific legal frameworks exist for domestic and international mediation. These frameworks are partially integrated but otherwise separate. Alternatively, general law is applicable to domestic and international mediation however the absence of a specific and comprehensive legal framework for mediation leads to some uncertainty about applicable law.</td>
<td>Lack of specific, legal framework for international and/or domestic mediation. Existing frameworks are piecemeal, contain potentially contradictory elements.</td>
<td>Lack of a specific legal framework for both domestic and international mediation.</td>
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<td>WEIGHTING: 1</td>
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<td>2. Transparency and clarity of content of mediation laws in relation to:</td>
<td>The law applicable to mediation is readily identifiable and accessible in all four listed content areas.</td>
<td>The law applicable to mediation is mostly readily identifiable and accessible in most or all of the four listed content areas.</td>
<td>The law applicable to mediation is largely identifiable and/or accessible but not all of the four listed content areas.</td>
<td>The law applicable to mediation is identifiable and/or accessible in some of the four listed content areas. It is however underdeveloped or</td>
<td>The law applicable to mediation is not clear, confusing and difficult to access.</td>
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Table 1.2  The Mediation Star Matrix
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<th>Criteria</th>
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| i. how mediation is triggered  
ii. the internal process of mediation  
iii. standards and qualifications for mediators  
iv. rights and obligations of participants in mediation |    |     |     |     |  |
| WEIGHTING: 2 |         |      |      |      | |
| 3. Mediation infrastructure and services: quality and access | Mediation infrastructure and services are highly developed.  
Clear consistent mediation standards provide for effective quality assurance (QA).  
There is a feedback and complaints system (or a comprehensive series of systems) in place for mediation services.  
Mediation services are offered independently. | Well developed, good quality mediation services and infrastructure.  
Transparent mediation/QA standards exist for most mediation services but they are not always consistent.  
There is a feedback and complaints system that covers most mediation services; alternatively most mediation service | Fairly well developed mediation services and infrastructure but lacking either:  
- transparent consistent mediation/QA standards  
- integration with existing dispute resolution structures such as courts and arbitration centres. | Mediation services exist but infrastructure needs development.  
Mediation/QA standards lack transparency and/or consistency.  
Integration with existing dispute resolution structures such as courts and arbitration centres is poor.  
Feedback and complaints systems do not function well; | Little if any mediation services or infrastructure.  
No robust quality assurance in relation to mediation services.  
While some standards for mediation may exist, they are not transparent and they are difficult to locate for users.  
No integration with existing dispute resolution structures |
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<th>Criteria</th>
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<td>and also as part of existing dispute resolution structures such as courts and arbitration centres. Users can source and access services with ease.</td>
<td>mediation service provider organisations have such a system in place. Mediation services are offered independently and there is some integration with existing dispute resolution structures such as courts and arbitration centres. For the most part mediation services are easily accessible.</td>
<td>alternatively well-functioning systems operate in only a few service provider organisations. Mediation infrastructure and services may be confusing for users and/or may be difficult to access.</td>
<td>such as courts and arbitration centres. There are no feedback and complaints systems in mediation service provider organisations. Potential users have difficulty accessing services or are unaware of them.</td>
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4. Access to internationally recognised and skilled local and foreign mediators

**WEIGHTING:** 2

<p>| There is an internationally recognised pool (cluster, group, body) of local and foreign mediators, who are both appropriately qualified and skilled. These mediators are permitted to work across all mediation services in the jurisdiction. Foreign mediators can easily join this pool through recognition of their prior mediator. | There is a nationally (and to a limited extent internationally) recognised pool (cluster, group, body) of mediators, who are both appropriately qualified and skilled. Most of the mediators are local, however foreign ‘star’ mediators are also on the panel. Foreign mediators are permitted to work across most mediation services in the jurisdiction. | There is a pool or pools (cluster, group, body) primarily of local mediators, who are both appropriately qualified and skilled. It is fairly straightforward for users to access the local pool; it takes more effort and usually some word-of-mouth recommendations to access foreign mediators. | There are numerous pools (clusters, groups, bodies) of mediators with varying levels of qualifications and skills. Mediators listed in these pools are primarily local with virtually no foreign mediators listed. Due to the numerous pools and diversity of standards, it is difficult for users to gain useful information about, and access to, qualified and skilled mediators for cross-border disputes. | There is no recognised pool of qualified and/or skilled local and/or foreign mediators. It is difficult for users to find out about, and access, qualified and skilled mediators for international disputes. There are no complaints/feedback/disciplinary body or bodies for users to access. It is difficult for foreign mediators to work in this jurisdiction. |</p>
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<td>qualification (recognised in their home country). Usually there is a system of mutual recognition among jurisdictions. Users can easily get information about, and access, this pool. Users have recourse to a well-developed and user-friendly complaints/feedback/disciplinary body (or bodies) regardless of whether the mediator is local or foreign. There is a high level of user awareness about this body.</td>
<td>There is some uncertainty about how foreign mediators can join, although it is accepted that they can. Users can generally access this pool without difficulty. Users have recourse to a complaints/feedback/disciplinary body (or bodies) for local mediators and usually for foreign mediators (although this last point needs to be clarified on a case by case basis). The level of awareness about this body and its accessibility may vary.</td>
<td>Foreign mediators can work in most mediation contexts in this jurisdiction. However, they are usually not found on the local national register, but are rather one of a small cluster of ‘star’ mediators. Users have recourse to a complaints/feedback/disciplinary body (or bodies) for local mediators, however not usually for foreign mediators. The complaints/feedback/disciplinary body may not be very well-developed yet or may lack user-friendliness; it is not well-known among mediation users.</td>
<td>Freelance foreign mediators can work in some mediation contexts. However this does not occur often. There may be complaints/feedback/disciplinary bodies associated with certain local mediator pools for users to access. These vary in quality and accessibility.</td>
<td>especially in relation to mediation of litigation or court-related matters.</td>
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<td>Criteria</td>
<td>5. Enforceability of mediation and multi-tiered dispute resolution (MDR) clauses</td>
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<td>Formal generally applicable regulation (e.g., legislation) specifically supporting the enforceability of mediation and MDR clauses (as is the norm in relation to arbitration clauses).</td>
<td>Insofar as courts have been asked to interpret the regulation, their decisions have been clear, consistent and supportive of the enforceability of mediation and MDR clauses.</td>
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<td>The general law of contract seems to support the enforceability of mediation and MDR clauses. However, cases/jurisprudence/academic commentaries are still emerging. There remains uncertainty about specific aspects of drafting these types of clauses to meet general law requirements.</td>
<td>The extent to which the general law of contract supports the enforceability of mediation and MDR clauses is unclear. Academic commentaries either do not address the point or are divided. There are limited or no cases/jurisprudence on this issue.</td>
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<td>The law (whether general or specific) as interpreted by courts does not support the enforceability of mediation and MDR clauses. Alternatively courts have reached very different decisions about the applicability of the law on this issue leading to uncertainty and caution in the use of such clauses.</td>
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<td>Criteria</td>
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<tr>
<td>6a. Certain and predictable regulation of insider/outsider confidentiality with some flexibility</td>
<td>Insider/outsider confidentiality is subject to formal generally applicable regulation (e.g., legislation) with opt out provisions. This creates certainty and uniformity on this issue, while allowing parties to make an informed choice to opt out and make their own variations. When parties opt out, they privately regulate insider/outsider confidentiality in their mediation agreement. Such terms in mediation agreements are recognised and enforced by the courts.</td>
<td>Insider/outsider confidentiality is recognised and regulated by the general law and is subject to general law exceptions. The general law of confidentiality might apply; where insider/outsider confidentiality is specified in a mediation agreement, the general law of contract would apply. In addition, there may be limited sector-specific formal regulation on insider/outsider confidentiality, usually with opt out provisions.</td>
<td>Here one or more of the following scenarios can be found. 1. Formal mandatory regulation of insider/outsider confidentiality, allowing no flexibility. This is generally a policy choice of a particular industry. 2. Formal regulation of insider/outsider confidentiality with opt out provisions. 3. General law applies to insider/outsider confidentiality.</td>
<td>Here one or more of the following scenarios can be found. 1. Formal mandatory regulation of insider/outsider confidentiality, allowing no flexibility. 2. Formal regulation of insider/outsider confidentiality with opt out provisions. 3. General law applies to insider/outsider confidentiality.</td>
<td>Insider/outsider confidentiality is neither expressly subject to formal regulation, nor has it been recognised by the general law in the sense that courts have applied the general law on confidentiality to a mediation setting. Contractual provisions in mediation agreements purporting to regulate insider/outsider confidentiality have either not been the subject of court scrutiny or have been subject to diverse judicial views. There is no consensus in the academic literature on this point.</td>
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<td>Most mediation agreements include a standard provision on insider/outsider confidentiality. Importantly, the different regulatory approaches here are generally aligned in terms of content. This leads to a sense of comfort around consistency of practice. However contractual provisions are subject to variation and judicial interpretation may also vary, leading to some uncertainty on this issue. Nevertheless, the courts generally recognise insider/outsider confidentiality.</td>
<td>provision on insider/outsider confidentiality. As a result there are diverse regulatory approaches to this issue and some resulting uncertainty and unpredictability in relation to the application of insider/outsider confidentiality. While the courts generally recognise insider/outsider confidentiality, the different regulatory frameworks and/or provisions lead to equally diverse judicial interpretations.</td>
<td>and a lack of transparency. Academic and judicial opinions vary.</td>
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<td>6b. Certain and predictable regulation of insider/court confidentiality</td>
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For 6a. and 6b. together*; WEIGHTING: 2
*Note that 6a and 6b are weighted together as there is often a strong regulatory connection between the two e.g., they may be covered by the same or similar provisions.

In relation to insider/court confidentiality, there is an overarching need for predictability and certainty in relation to the (non-) admissibility of evidence.

For this reason formal generally applicable mandatory regulation (e.g., legislation) for all mediation participants exists. Parties cannot opt out of the general rule.

However, certain exceptions provide for accountability of those who participate in mediation processes including mediators, lawyers and parties.

There is specific formal mandatory regulation in some sectors for mediation participants - all of which are similar in terms of content i.e., their approach to admissibility of mediation evidence.

In other sectors, there is formal regulation, which is default in nature and therefore subject to variation (opt out) by parties.

Otherwise, regulation varies according to the contents of mediation agreements, which usually contain standard institutional clauses on this issue. Mediation agreements are recognised by, and interpreted according to, the general law.

There is limited specific formal mandatory regulation on this issue. Where formal mandatory regulation exists, it is usually only in relation to one mediation participant, such as the mediator.

Otherwise specific formal regulation (either general or sector-specific regulation) is default in nature and therefore subject to variation by parties.

In all other cases, the general law applies to interpret mediation agreements, which often contain standard institutional clauses on this issue. Therefore there is potential diversity on how this issue is regulated and some resulting uncertainty.

For the most part, the general law applies. There is little specific formal regulation on this issue. Insofar as specific formal regulation exists, it is mostly default in nature and therefore subject to variation by parties.

For the most part the general law applies and it varies according to the contents of mediation agreements.

There is no significant alignment in the content of these various regulatory approaches.

As a result there is much diversity in the regulation of this issue and a lack of transparency.

Academic and judicial opinion varies.

Insider/court confidentiality is neither expressly subject to formal regulation, nor has it been recognised by the general law in the sense that courts have applied the general law on confidentiality to a mediation setting.

Contractual provisions in mediation agreements purporting to regulate insider/outsider confidentiality have either not been the subject of court scrutiny or have been subject to diverse judicial views.

There is no consensus in the academic literature on this point.
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<tr>
<td>Importantly, all regulation on this issue is generally aligned in terms of content. This leads to a sense of comfort around consistency of practice, however there is the potential for a lack of uniformity on this issue.</td>
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<td>and unpredictability in relation to the application of insider/court confidentiality. While the courts may recognise insider/court confidentiality, the different regulatory frameworks and/or provisions lead to diverse judicial interpretations.</td>
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<td>7. Informed self-regulation of insider/insider confidentiality</td>
<td>Insider/insider confidentiality relates to the internal conduct of the mediation process and is therefore subject to party autonomy. This flexibility permits parties to tailor insider/insider confidentiality to meet their procedural needs.</td>
<td>Apart from a few (largely policy-based) exceptions, insider/insider confidentiality is subject to party autonomy. It is increasingly common practice that written mediation agreements expressly regulate insider/insider confidentiality.</td>
<td>There is considerable mandatory regulation of insider/insider confidentiality, which does not permit parties to tailor insider/insider confidentiality to meet their procedural needs.</td>
<td>Insider/insider confidentiality is subject to formal general mandatory regulation (e.g., legislation.) Generally speaking, parties are not able to tailor insider/insider confidentiality to suit their needs.</td>
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<td>Insofar as there are formal regulations on insider/insider confidentiality in legislation, court rules or other regulatory forms, these are default in nature i.e., subject to different arrangements by the parties. There are various institutional ‘standard’ provisions on insider/insider confidentiality that can be included, and adapted for, written mediation agreements. It is considered good practice that written mediation agreements expressly provide for insider/insider confidentiality on a case by case basis.</td>
<td>deal with insider/insider confidentiality – using standard or individual clauses. However the practice of insider/insider confidentiality being determined on a verbal, ad hoc basis by the mediator still occurs.</td>
<td>there are no such provisions and insider/insider confidentiality is subject to general contract law and therefore party autonomy. Written mediation agreements may expressly deal with insider/insider confidentiality. However this is not standard practice. Mediators’ practice varies in terms of how insider/insider confidentiality is regulated (e.g. whether it is written into the mediation agreement or dealt with verbally on an ad hoc basis).</td>
<td>In practice areas without mandatory formal regulation, insider/insider confidentiality is frequently determined on a verbal, ad hoc basis by the mediator without a specific written provisions in the mediation agreement. Of course in some sectors it is possible for a standard or individual written provision to be inserted into the mediation agreement. However the practice on this is limited.</td>
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There is a range of legal forms for MSAs/iMSAs e.g., contract, settlement deed, arbitral consent award, court order.

There are clear and transparent criteria that apply for the recognition and enforcement of MSAs/iMSAs in their various forms. When documented in the appropriate legal form, MSAs/iMSAs are recognised by the law and are directly enforceable in the courts without further preconditions. When documented in the directly enforceable form, the ability to challenge MSAs/iMSAs is restricted.

There is a range of legal forms for MSAs/iMSAs e.g., contract, settlement deed, arbitral consent award, court order.

Criteria applicable for the recognition and enforcement of MSAs/iMSAs in their various forms are mostly clear and transparent. When documented in the appropriate legal form, MSAs/iMSAs are recognised by the law and are generally enforceable in the courts subject to certain pre-conditions. The scope for challenges to MSAs/iMSAs depends on the legal form adopted.

There is a limited range of legal forms for MSAs/iMSAs e.g., contract, arbitral consent award, court order.

Criteria applicable for the recognition and enforcement of MSAs/iMSAs depend on the legal form chosen and vary in terms of clarity and transparency. When documented in the appropriate legal form, MSAs/iMSAs are generally recognised by the law and are generally enforceable in the courts.

The scope for challenges to MSAs/iMSAs depends on the legal form adopted.

There is a lack of clarity and transparency in relation to the legal forms available for MSAs/iMSAs.

Criteria applicable for the recognition and enforcement of MSAs/iMSAs are also unclear. There is inconsistency in the applicable law and/or its interpretation and application by the courts. The legal status of the different legal forms for MSAs/iMSAs is unclear.

Legal challenges to the enforceability of MSAs/iMSAs are common practice and are often successful.

Legal challenges to the enforceability of MSAs/iMSAs are common practice and are often successful.
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<td>9. Impact of commencement of mediation on litigation limitation periods</td>
<td>Commencement of private and court-related mediation suspends legal proceedings/litigation limitation periods without detriment to parties. Suspension* occurs either automatically or with a simple notification procedure. * Here 'suspension' includes 'interruption' in a legal sense.</td>
<td>Commencement of court-related mediation suspends* most legal proceedings/litigation limitation periods without detriment to parties.</td>
<td>Commencement of private or court-related mediation may suspend* litigation limitation periods, but only after action is taken by parties/legal advisers to ensure as such. Some inconsistency in regulation may exist. * Here 'suspend' also means 'interrupt' in a legal sense.</td>
<td>The rules applying to the impact of the commencement of mediation on litigation limitation periods are inconsistent and lack transparency. In addition, application of the applicable rules is largely discretionary and/or inconsistent in application. Initiative must be taken by parties or legal advisers.</td>
<td>Mediation has no effect on litigation limitation periods. Post-filing, parties risk prejudicing their legal rights or enduring other negative consequences for litigation by engaging in mediation.</td>
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<td>10. Relationship of courts to mediation</td>
<td>Mediation is integrated with/aligned to the court system overall – virtually all courts have mediation programmes with a formal, effective and transparent referral process to mediation.</td>
<td>Mediation is integrated with/aligned to many or most courts in the jurisdiction, however there are notable gaps. Where mediation programmes exist, they offer a formal, effective and transparent referral process to mediation.</td>
<td>Courts are largely supportive of mediation but most lack well developed mediation programmes with a formal, effective and transparent referral process to mediation. As mediation is voluntary, courts lack a critical mass of referrals to mediation.</td>
<td>While some courts are supportive of mediation, others are indifferent to mediation. Most courts lack procedures to facilitate or refer cases to mediation.</td>
<td>Courts are indifferent to or even discourage mediation. They lack procedures to facilitate or refer cases to mediation.</td>
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<td>11. Regulatory incentives for legal advisers to engage in mediation/attitude of the legal profession to mediation</td>
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<td>There is a range of transparent, highly effective regulatory incentives for legal advisers to inform clients about, recommend in appropriate cases, or otherwise engage with, the mediation process.</td>
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<td>The legal profession responds positively to the incentives and has embraced mediation as a dispute resolution tool in appropriate cases.</td>
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<td>There is a range of hard and soft regulatory incentives to encourage legal advisers to engage with the mediation process. Incentives vary according to their effectiveness. Reasons for this may include: their recent introduction, lack of sanctions, lack of awareness etc. For the most part the legal profession responds positively to most of the incentives. Generally the legal profession has a positive attitude to mediation as a dispute resolution tool in appropriate cases.</td>
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<td>Some courts have informal or ad hoc referral procedures to divert cases into mediation.</td>
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<td>There is a limited range of mainly soft regulatory incentives to encourage legal advisers to engage with the mediation process. Insofar as there are hard regulatory incentives, these tend to have limited impact on practice – e.g., because there are no sanctions for breach or because they are discretionary so that legal advisers are not required to comply with them. Overall, no direct disadvantage or sanction for non-compliance with regulatory incentives. The attitude of the legal profession is mixed in relation to mediation as</td>
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<td>There is no interest among members of the legal profession in relation to mediation as a dispute resolution tool. There is no promotion of mediation within the legal profession.</td>
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<td>No incentives for legal advisers to engage in mediation. There is no interest among members of the legal profession in relation to mediation as a dispute resolution tool. There is no promotion of mediation within the legal profession.</td>
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<td>12. Attitude of courts to mediation</td>
<td>Courts are considered pro-mediation. Court decisions and jurisprudence show that courts uniformly recognise and are prepared to enforce mediation agreements, MSAs/iMSAs and other mediation protocols and processes that comply with the regulatory requirements. Courts, including higher level courts routinely include comments in speeches and other public communications to indicate their active support for mediation.</td>
<td>Courts are considered pro-mediation. Many courts have demonstrated through court decisions/jurisprudence that they recognise and are prepared to enforce mediation agreements, MSAs/iMSAs and other mediation protocols and processes that comply with the regulatory requirements. Increasingly, court and judges will refer to mediation in public communications in a way which indicates their support for the process.</td>
<td>Generally courts and/or judges are considered pro-mediation. Some courts and/or judges have indicated through court decisions/jurisprudence that they recognise and are prepared to enforce mediation agreements, MSAs/iMSAs and other mediation protocols and processes, provided they are drafted appropriately and comply with the law. Thus there is some evidence to indicate the robustness of the regulatory regime.</td>
<td>There have been few opportunities for the courts to decide cases on issues dealing with mediation. Decisions have not been consistent on issues. OR There are still many issues upon which the courts have not pronounced. Some individual judges (but not the courts generally) have made comments in public to indicate their support for mediation. While the general mood is positive about the future of mediation, there is little evidence to</td>
<td>There have been no opportunities for the courts to decide cases on issues dealing with mediation. Judges and the courts have not made public comments to indicate support for mediation. As a result, there is much uncertainty about the application and interpretation of mediation regulation.</td>
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<td>Where court decisions have exposed a loophole or weakness in the regulatory regime, regulatory actors (e.g. law and policy makers) usually take note and attempt to address the issue. A number of courts and judges have made comments in public to indicate their support for mediation.</td>
<td>indicate the robustness of the regulatory regime.</td>
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§1.06 THE REGULATORY ROBUSTNESS RATING SYSTEM IN ACTION

Having explored the thinking, logic and structure supporting the Regulatory Robustness Rating System, it is useful to turn to its application in practice.

As indicated previously, a Regulatory Robustness Rating Analysis has been created for each Member State of the EU by the editorial team and is located at the start of every jurisdiction’s chapter. It is presented in a tabular form and you will notice that there are four columns:

- The far left hand column with the heading **Criterion** identifies each of the twelve criteria, numbered 1 through to 12.
- The next column with the heading **Jurisdictional Description** offers a short statement on how the jurisdictions in question deal with that criterion. This is a very brief and basic description that enables the RRR to be presented in a tabular form so that readers can benefit from an overview of the jurisdiction’s regulatory framework.
- The column entitled **Star Score and Weighting** contains the star rating with anywhere between 1 and 5 stars. It also indicates the weighting given to the criterion and this is indicated by the numeral 1, 2 or 3.
- The far right and final column calculates the jurisdiction’s Regulatory Robustness Rating (**RRR**) in relation to this criterion. This is done by multiplying the star score with the weighting score.

Here England and Wales is used as an illustration in relation to the first criterion (see Table 1.3 below). In the leftmost column the first criterion, ‘Congruence of domestic and international legal frameworks’ is identified. In the next column the jurisdictional description highlights the lack of congruence of domestic and international legal frameworks for mediation. This description leads to a star score of three (3), which is noted in the third column. Readers wanting to better understand the difference between a two and a three star rating on this criterion, or those who are curious about what might be needed to move England and Wales up to four stars, can refer to the Mediation Star Matrix (Table 1.2) set out previously.

Also noted in the third column below the star rating is the allocated weighting for this criterion. In this case the allocated weighting is one (1) indicating that while congruence of domestic and international legal frameworks for mediation is a relevant factor contributing to the regulatory robustness of a mediation regime, it is typically perceived as a lower priority aspect of mediation regulation compared with other criteria that are allocated a weighting of two or three. Of course where users of the RRR System would consider this criterion to be of a higher priority, they would simply need to change the weighting of one to two or three units as appropriate; the final Rating in the next column would then be computed according to the higher weighting. In this way, the RRR System can be tailored to the needs and interests of those employing it regardless of whether they are lawyers, commercial parties, mediators, judges, lobby groups, or law and policy-makers.
The final column on the far right-hand side of the table sets out the RRR score for the first criterion by multiplying the star score and the weighting from the previous column. Here the calculation is: $3 \times 1 = 3$. Thus 3 is the Rating (RRR) given to England and Wales in relation to the congruence of domestic and international legal frameworks for mediation.

Table 1.3 *Extract from the Regulatory Robustness Rating of England and Wales*

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<thead>
<tr>
<th>Criterion</th>
<th>Jurisdictional Description (England and Wales)</th>
<th>Star Score</th>
<th>RRR</th>
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<tr>
<td>1. Congruence of domestic and international legal frameworks</td>
<td>General law is applicable to domestic and international mediation, with some legislation only applicable to cross-border mediation. Therefore, the legal frameworks for cross-border and domestic mediation are partially integrated and partially separate. Moreover the absence of a specific and comprehensive legal framework for mediation can lead to some uncertainty about applicable law.</td>
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Readers will note that there is no overall Rating; the reasoning for this is as follows. Providing jurisdictions with an overall numerical Rating would turn into the RRR into a competition. Consequently, the readers’ attention would be to scrutinise the overall score only, and less attention would be paid to the merits of the individual criteria stated. The RRR is not a competition. It is a tool for analysis and accordingly it is important to examine the individual criteria and the star scores and weightings allocated to each criterion. The short descriptions and Ratings allocated to each criterion offer a structured overview of mediation law that enables its readers to quickly grasp the main features and issues relevant to a particular jurisdiction. Using this book, readers are better-placed to undertake an informed exploration of cross-border mediation law.

Legal advisers may factor an RRR analysis into their choices about governing law when drafting mediation clauses and other agreements. For example, lawyers looking to identify suitable governing laws for their clients’ mediation clauses might use the RRR System to identify three jurisdictions with high Regulatory Robustness Ratings in relation to the enforceability of mediation clauses and other regulatory factors they consider important for their client. The RRR System can thus provide a starting point for further research to look more closely at these jurisdictions with the goal of identifying a robust governing law and jurisdiction for a mediation clause. As explained previously, other non-regulatory factors specific to the clients’ interests will also be

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10. For the full Regulatory Robustness Rating on England and Wales see Chapter 9.
relevant in the final choice of law and jurisdiction, and these should be considered alongside the RRR System.

In concluding this chapter, it is important to recall that the Regulatory Robustness Ratings are derived from the information found in the relevant chapters. Accordingly, readers are able to follow how the various scores have been calculated and they may take this contextual information into account when interpreting the Ratings.

Looking to the future, as legal frameworks for cross-border mediation develop around the world, so the Regulatory Robustness Ratings proposed in this book will require amendment. This highlights another application of the RRR System, namely as a monitoring and research tool for law- and policy-makers in the field of cross-border mediation.
Professional Mediation Worldwide:
Promoting Consensus and Access To Justice
INTRODUCTION

Deborah Masucci
Chair, International Mediation Institute
Former Head of American International Group Inc’s (AIG) Dispute Resolution Program

In 2017, the International Mediation Institute (IMI) celebrates its 10th anniversary. As many of us who work in a service industry know, in order to remain relevant, you must know your customer and be adaptable to change direction to meet your customers’ needs. This strategic approach is no different in the conflict management and resolution space.

Since its inception, IMI developed global competency standards for mediators, mediation advocates, intercultural dispute resolution, and most recently investor state mediators. Each was a progression based on the needs of the dispute resolution community. But is that enough? Should IMI broaden its mandate? If so, how does IMI add value to the field?

We started this discovery stage by launching this Survey. Ute Quinn summarizes what we have found – an ever vocal mediator community that demands the recognition of their craft as a profession; a younger generation, especially in developing countries who are clamoring for opportunities to break into the field; and a continued need to engage the user and advisor community to determine their future needs.

We launched the Global Pound Conference to engage stakeholders in a modern conversation about the future of dispute resolution. The first event was held in March in Singapore with the last event scheduled in London in July 2017. There are commitments to hold events in 40 cities across 31 countries. The events are eliciting information about what users want, need and expect; whether the market is addressing user wants, needs and expectations; how can dispute resolution be improved; and what needs to be done in the future? We have already collected a lot of valuable information that will be dissected and analyzed. You can find the voting results at http://www.globalpoundconference.org/series-data/local-voting-results#.V_O9T5MrLUo.

What I believe we will find is that we are more similar than we think across the globe in our approaches to dispute management and resolution. We also will have in one place responses for the same questions from practitioners around the world. What an opportunity!

The IMI Board will use all this information to develop its short and long term priorities for engagement to bring ADR and mediation to the forefront of dispute resolution efforts. IMI will set its course for the future. We hope you will be part of it.

Ute A. Joas Quinn
Chair, IMI Board Resources Committee, Survey Task Force
Associate General Counsel, Hess Corporation

It is my great pleasure to introduce the 2016 International Mediation & ADR Survey sponsored by the International Mediation Institute. We are most grateful to the 815 survey respondents around the world who together provide a much needed insight into the perceptions of mediation and ADR from the perspectives of all stakeholders to this growing industry.

From a corporate perspective, businesses have long been faced with managing conflicts in a seemingly ever growing number of stakeholder combinations. Though immersed internally, not many of these experiences are vocalized externally, to either capitalize on shared knowledge or to advocate a view which furthers interests – a missed opportunity for inhouse advisors such as myself. The survey highlights this dilemma, from the proportionate pool of business (“User”) respondents to the, at times, vastly differing views of these respondents from all other stakeholders in the survey. If nothing else, the survey highlights that User views matter, and that practitioners should wear these as a badge of professionalism.

Also strangely silent is the voice of advisors and mediation advocates, be they from law firms or elsewhere. The disconcerting disconnect shown in the survey between advisors and their clients underscores the importance of more frequent conversations about mediation between these groups and when it’s use might be appropriate.

Mediators are naturally the most vocal about their vocations, but not necessarily on an international scale. The survey appears to highlight that in order for mediators to further refine their industry, mediation will actually need to become a profession in its own right. Through uniform, high-quality standards (as Users plead), irrespective of jurisdiction, levels of remuneration which can be expected for a competent mediation professional should then be a natural result.

The survey shows that providers, educators and governments have their ears to the ground, straining to gather information in an area where not all stakeholders have been overly vocal. Lack of data may then, in turn, lead to formalized adaptations of a tool not yet proven to be fit for purpose in non-mandated (voluntary) circumstances.

Finally, younger generations, particularly from developing countries, show the greatest proclivity in the survey towards mediation and the use of web-based tools to develop their practices.

There is clearly much to talk about. We hope that you will find the survey results of interest and at the least serve to foster discussions on this much needed conflict management tool from both within your organizations and outside.
<table>
<thead>
<tr>
<th>CONTENTS</th>
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<tbody>
<tr>
<td>Introduction</td>
<td>2</td>
</tr>
<tr>
<td>Overview and Acknowledgements</td>
<td>4</td>
</tr>
<tr>
<td>Executive Summary</td>
<td>5</td>
</tr>
<tr>
<td>Respondent Profile and Methodology</td>
<td>6</td>
</tr>
<tr>
<td>Managing Work and Conflicts</td>
<td>13</td>
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<tr>
<td>Relevant Factors in Mediation Practice</td>
<td>21</td>
</tr>
<tr>
<td>Mediator’s Role/Features/Overview</td>
<td>28</td>
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<td>Growing Mediation</td>
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The 2016 Census of Conflict Management Stakeholders and Trends commissioned by the International Mediation Institute ("IMI") collects and presents statistics and insights of stakeholders regarding Mediation and Appropriate Dispute Resolution ("ADR") Awareness. The survey is believed to be the first ever international census of the mediation/ADR community to date.

The survey addresses the needs of business & advisors, mediators & providers, educators, government, NGOs and other stakeholders in using and/or practicing mediation and ADR. The survey further encompasses market observations on the effectiveness of IMI as an organization overall and whether there are areas of further development in professionalising mediation and also benefitting its supporters.

The survey provides a very useful snapshot of the state of the international market for mediation. The report thus pays focused attention to the respondent profile in the first instance, not only to explain the survey methodology but also to highlight market trends. Although detailed statistics are provided as entered by the respondents in the survey, general summary pages are also provided in the front of each section for ease of review as follows:

- Executive Summary (slide 5)
- Respondent Profile (slide 6)
- Managing Work and Conflicts (slide 13)
- Relevant Factors in Mediation Practices (slide 21)
- Mediator’s Role/Features/Overview (slide 28)
- Growing Mediation (slide 35)

Deep appreciation and thanks are extended to the following IMI volunteers constituting part of the IMI Survey Task Force: Khory McCormick (Australia), M. Salman Ravala (New York), Christiane Rosenbaum (New York), and Emma Ewart (New Zealand).
EXECUTIVE SUMMARY

The key findings from this census survey (including demographics) are:

Stakeholders in international mediation (Definitions, see slide 10)
• Respondents are a significant sample (813) representing 67 countries and speaking 49 different languages (pp. 8-9);
• 73% of respondents are over the age of 45 (35% of these are over the age of 60) (p. 11);
• Women are proportionately more represented in mediation (40%) than arbitration (14% according to public surveys) (p. 12);
• 58% of respondents have legal backgrounds, deriving in largest part from those stakeholders who sit around a mediation table – users, advisors, and mediators (pp. 10, 15)
• Regional views differed in significant respects throughout the survey, with Latin America and Africa proportionately more optimistic than North America and Asia on various fronts

Mediators
• 48% of mediators are self-employed; 70% of mediators engage in some other profession in addition to mediation (p. 30)
• More women mediators solely mediate (18% female, 12% male) and mediate solely on a volunteer basis (17% female, 6% male) (pp. 30-31);
• 55% of mediators earn less than $50,000 USD equivalent performing mediation services only (p. 31);
• Marked differences exist between IMI Mediators and mediators overall with respect to motivators and financial standing (p. 31, 33)

Views on international mediation
• Users are dramatically more familiar with mediation (50%) than their advisors perceive them to be (6%) (p. 17);
• Advisors are more familiar with mediation (40%) than Users perceive them to be (30%), and recommend mediation more often (70%) than Users perceive they do (47%) (p. 17);
• “Asking Peers” remains the predominant method for advisors to choose mediators (53%), and objective search engines one of the lowest (4%) (p. 18);
• Using a competent professional to aid in resolving disputes ranked highest for Users in business (87%) and individual contexts (78%); all other stakeholders ranked this option generally higher across the board in other contexts (i.e., communities, government, NGOs) as well (p. 19)

Mediation practices
• The “qualifications and experience of a mediator” is the most important factor (75%) for Users to know concerning their work in conflict management; “User views” are the most important factor (75%) for all other stakeholders (pp. 23-24);
• Regarding mediation processes, the lowest rates of extreme importance are the “time mediation takes to resolve a conflict” (36%) and success rates (41%). Enforcement of mediation settlements was of extreme importance for 53% of respondents (56% for users specifically) (p. 25);
• The extent of use of mediation does not hold extreme importance for any stakeholders other than government (52%) (p. 26)

Growing mediation
• 83% of respondents stated that users would have at least some interest in web-based/automated tools for mediation over the next 5 years, but expressed uniform hesitation at the success these tools would have to resolve conflicts over face-to-face interactions (p. 37);
• Only 17% of respondents stated that legislators had any familiarity with mediation; 18% stated that the executive branch had any familiarity with mediation (p. 38);
• 41% of respondents believe that the judicial branch recommends mediation most or some of the time (p. 39);
• Educators perceive a large student interest in mediation (53%), though course offerings (according to students) appears to be rare (54%) (p. 40);
• 63% of providers stated that interest in mediation training courses will increase over the next 5 years (p. 41).
CHAPTER 1
RESPONDENT PROFILE AND METHODOLOGY
Overview

This survey was conducted in Q4 2015/Q1 2016, through an online questionnaire. The response rate was high.

The respondent base of this survey is more representative than other stakeholder surveys conducted to date with respect to conflict management in general and mediation in particular. With 813 total respondents, the respondent profile* includes a good snapshot of market segments, including a significant number of users, advisors, service providers, educators, students and government/non governmental organization (NGO) stakeholders represented in addition to the majority demographic of mediators. These market segments represent 67 countries speaking 49 different languages worldwide.

The translation of the survey into Portuguese produced marked additional responses and gave a strong diversity quality to the survey. Future surveys may well benefit from additional translations to even better improve results.

From a gender perspective, the size of the female respondent pool (40%) suggests a significantly larger involvement in consensual decision making activities than the comparative pool involved in arbitrations (see, e.g., 16% women respondents to 2013 CCA/Straus Institute Survey of US arbitrators; 14% women respondents to 2015 Chartered Institute of Arbitrators survey). This may be due to increased educational opportunities or lower barriers to entry, though survey results demonstrated that professional barriers – across the board but particularly among women – may still be preventing women mediators from earning a sustainable income through solely conducting mediations.

Age demographics also reflect the continued dominance of older men (aged 60 and over) particularly in North America and Australia/New Zealand in the mediation sector.

The largest enthusiasm for mediation-related issues come from the younger populations, the largest majorities of which are based in Africa and Latin America.

*For Respondent/Stakeholder Definitions, see page 10
**Respondent profile**

**Significant sample:** The survey sample represents a diverse and global cross section of respondents representing all ADR stakeholders. 813 stakeholders responded to the survey from 6 regions, representing 67 countries and speaking 49* different languages.

Although the survey was conducted in English, a Portuguese translation was also circulated, which generated 55 additional native Portuguese-speaking respondents.

This survey was conducted in the period from end of 2015 to the beginning of 2016.

*62% of respondents have English as their native language*
Large and Diverse Country representation

For regions comprising a large number of countries, no cultural specific reflections were possible.

For example, Europe, which comprises 34% of the total number of respondents, is represented by 29 diverse and culturally distinct countries. Asia, comprising 14% of total respondents, is represented by 15 countries.

Latin America, comprising 5% of total respondents, is represented by 7 countries.

The Middle East, comprising 2% of respondents, is represented by 6 countries, while Australia/New Zealand (5%) is represented by 4 countries.

In contrast, North America, which comprises 35% of the total number of respondents, is comprised of 4 countries.*

*countries listed as self-reported

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The Middle East, comprising 2% of respondents, is represented by 6 countries, while Australia/New Zealand (5%) is represented by 4 countries.

In contrast, North America, which comprises 35% of the total number of respondents, is comprised of 4 countries.*
In order to understand and differentiate between viewpoints, respondents were asked how they were connected to mediation (respondents were self defined and not otherwise verified through the survey):

**Users.** Those who may potentially use mediation ("Users") make up 7% of respondents, the largest groups of which divided between 10% of North America, 15% of the Middle East*, 7% of Australia/NZ, 6% of Asia and 5% of both Africa and Europe.

**Advisors.** Those who (may) recommend using mediation as external counsel, consultant or User representative ("Advisors") make up 10% of respondents, with the largest groups divided between Africa (13%), Asia (12%), Europe (12%) and Latin America (8%).

**Mediators.** Those who conduct mediations ("Mediators") make up the majority (53%) of respondents, with the largest groups divided between Australia/NZ (65%), North America (59%), Europe (52%), Asia (51%), Latin America (46%) and the Middle East (30%)*.

**Educators.** Those who teach mediation or train mediators and/or mediation advocates/advisors ("Educators") had the largest distribution of Educators come from Latin America (14%), Africa (13%), Asia (13%), and Europe (12%).

**Providers.** Those who arrange and administer mediation, or provide other products/services to the ADR industry ("Provider") had the largest distribution of Providers come from the Middle East* (15%), Africa (8%), Latin America (7%), and Asia (6%).

**Students.** Those who study mediation ("Students") had the largest distribution of students come from Africa (8%), Latin America (5%), Europe (3%), and Asia (3%).

**Other stakeholders.** Those who are otherwise interested in mediation as a conflict management stakeholder (e.g., government, NGOs, etc.) ("Stakeholders") were only prevalent in Latin America (7%), Asia (5%), North America (1%) and Europe (1%).

*small base
Age Ratios

Age is a contributing factor in the level of interest in conflict management. The total range of ages of respondents were 25 or younger (2%), 25-45 (23%), 45-60 (38%), and over 60 years of age (35%). North America had the oldest category of respondents (56% over the age of 60), followed by Australia/New Zealand (53% over the age of 60) and the Middle East (50% over the age of 60).*

The largest representation of young respondents aged 45 and under came from Africa (40%) and Latin America (38%), followed by Asia (35%).

Female population generally younger. 71% of women respondents are ages 25-60 as opposed to 52% of men in the same age group. Only 27% of women are aged over 60 compared to 45% of men in this respondent pool.

In terms of stakeholders, students generally made up the youngest population, followed by advisors and providers. Users and other stakeholders such as government/NGOs, fell in the mid-range while mediators and educators made up the most senior populations.

*small base

Youngest stakeholders

Students

Advisors

Providers

Most senior stakeholders

Educators

Mediators

Midrange stakeholders

Users

Government/Other

2016 International Mediation & ADR Survey

11
**Gender Ratios**

**Predominantly male response.** The majority of all respondents were male (60%). Regionally, Australia/New Zealand had the highest proportion of women respondents (56%), followed by North America (42%) and the Middle East (50%).

The largest disparity in genders exists in Latin America (71% male), Asia (68% male), and Africa (63% male), with Europe not far behind (62% male).

*small base

**Stakeholders generally lack gender diversity.** With one notable exception, the majority of all stakeholder groups were male. Females constitute the majority of Provider respondents (51%), with the next highest female populations coming from governments/other (44%), and Advisors (42%). Also noteworthy is that the largest disparity between genders exists among student respondents (69% male), with the next largest disparity (64% male) shared between users, mediators and educators.

### 2016 International Mediation & ADR Survey
Although respondents overall indicate a large array of professional backgrounds, the majority of professionals (58%) come from a legal background, represented most strongly by users and advisors, followed by mediators and providers. The largest respondent pool amongst all stakeholders are self-employed.

In managing work and conflicts, there is a clear perception differential between Users and the advisors who represent them both as regards conflict management in general and mediation in particular. Users in this respondent pool may qualify in the category of “sophisticated users”, i.e., being very familiar with the main forms of conflict management and resolution -- including mediation -- dramatically more than they were given credit for by their advisors. Though advisors perceive themselves to know more about consensual decision making tools than their clients, and perceive themselves as regularly recommending mediation, clients experience this differently. This suggests a significant disconnect in perceived strategy alignment on how to manage conflicts and the role mediation might play therein.

Survey results demonstrate the importance of obtaining user views in an area in which their views may differ – at times dramatically – from the remainder of the stakeholder populations. One such area is the marked difference in views of the potential breadth of use of third party facilitators depending on the parties (business, individual, government, NGO) to the conflict. The narrower use of a competent professional for business and individual disputes by users reflects perhaps how mediators transport themselves into market segments, i.e., suggesting that mediation skills may be brought into businesses and governments internally for certain types of disputes, but not the mediation itself through use of an independent third party.
Large diversity in professions. Of 815 overall respondents, 944 responses were received representing 28 different professions (suggesting multiple educational qualifications per individual). By far the largest representation (58%) is among the legal profession (543 individuals). 93 individuals (10%) responded that they have a business background, followed by 60 individuals (6%) with a human resources/labor background. 3% (each) of respondents represent social work (33), psychology (30), education (27), political science (27), and accounting/banking (24). The remaining 10% of responses are split as shown in the adjoining Chart, with 2% of respondents describing their professional background as “mediation”.

More homogenous negotiating tables. Despite a wide array of professional backgrounds, the least diverse of the stakeholders were those who typically sit at the negotiating table. Users and advisors had the largest representation of legal backgrounds (76% and 80% respectively), followed by mediators and providers (69% each). Although the largest proportion for (government) stakeholders was also legal (33%), strong showings existed also for human resources (22%), political science (11%), and “other” professions (22%). Students were perhaps the most diverse in backgrounds (61% legal, 30% “other”), followed by educators (63% legal, 24% “other”).

There were no appreciable differences amongst genders or regions in this category.
In order to understand the support network of the respondents they were asked about how and where they were employed:

- There was a clear trend from a majority of respondents who were either self-employed (35%) or working for a law firm or other consultancy (26% of respondents).
- Almost half of self-employed respondents were mediators (48%), followed by educators (24%) and students (20%).
- The largest proportion of providers were employed by government (27%), followed by consulting firms (20%), and nonprofit organizations (17%).
- The largest proportion of “other” stakeholders are employed by government (27%), followed by nonprofit organizations (22%).
What is the level of familiarity with mediation (real and perceived)? Q13, Q15, Q19, Q20, Q23

Perceptions between advisors and their clients varied (at times dramatically) with respect to the level of knowledge possessed about ADR and mediation:

• Advisors perceive their clients to be markedly less familiar with mediation (6%) and conflict management (7%) than users themselves feel about mediation (50%) and conflict management (47%).

• Advisors also had much higher perceptions of their own familiarity both with conflict management in general (49%) and mediation (40%) than client users had about their advisors—perceiving that 46% of advisors were exceedingly familiar with conflict management while perceiving that only 30% of advisors were exceedingly familiar with mediation.

• User respondents who stated they are “exceedingly familiar” with mediation (50%) outnumber their advisors (40%).

• Advisors overwhelmingly felt that knowing how best to use mediation as part of their work was very valuable (78%).

• However, in terms of recommending mediation, Users responded that their advisors recommend mediation less than half of the time (47%), while advisors responded that they recommend mediation the predominant majority of the time (70%). The results suggest a significant disconnect in perceived strategy alignment on how to manage conflicts and the role mediation might play therein.
How are mediators chosen (real and perceived)? Q22, Q39

53% Ask Peers
4% Consult IMI Search Engine
23% Ask local ADR institutions for advice
1% Leave it to the client to suggest
17% Other

“Learning about mediation very valuable
“A happy client reinforces the relationship he has with his counsel. The client has a win, so does his initial opponent but also ultimately the counsel. Everyone wins.”

The advisor’s method of choosing mediators (inner circle below) coincides almost exactly with the perceptions of other stakeholders’ (outer circle below) on how parties and their advisors choose mediation, i.e., by asking peers and relying on one’s own network (53%).

Those who do go beyond their network ask local ADR institutions for advice (23%).

Almost no one (1%) would leave such a task solely to the client to suggest, which infers a strong disconnect between the high level of knowledge users claim to have concerning mediation and the practical use of that knowledge when it comes to choosing a mediator.

Search engines with objective third party feedback on mediator performance is also rarely used (4%).

“Almost no one (1%) would leave such a task solely to the client to suggest, which infers a strong disconnect between the high level of knowledge users claim to have concerning mediation and the practical use of that knowledge when it comes to choosing a mediator.”

“A happy client reinforces the relationship he has with his counsel. The client has a win, so does his initial opponent but also ultimately the counsel. Everyone wins.”
In order to assess the potential breadth of use of mediation, respondents were asked in which areas conflicts could be facilitated by a competent professional:

**Users.** Generally, Users were the most optimistic about using such professionals in the business to business context (87%), business to employee context (74%), and individual to individual context (78%). Individual to business disputes also scored relatively high as a possibility (67%).

**Other Stakeholders.** In all other areas, however, other stakeholders were more optimistic than users about the potential for using a competent professional, including disputes between businesses and communities (65%), between business and government (61%), between business and NGOs (59%), between individuals and business (69%), individuals to government (63%), as well as between governments (62%).
In describing practice experiences, 83% of respondents said their work involves some form of conflict management or dispute resolution either frequently or “all the time”.

Consequently, not surprisingly 70% of respondents said that they are “exceedingly familiar and use” the mainstream forms of conflict management and resolution.

- The highest levels of familiarity and use exists in North America (83%), Australia/New Zealand (79%), and Europe (68%).
- The “lowest” levels of “exceeding familiarity and use” arose in Asia (52%), the Middle East (61%), Latin America (56%) and Africa (62%), but these were still majorities.
- Only Africa (2%) and Asia (2%) had any respondents who were not at all familiar with the mainstream forms of conflict management and resolution.

The majority of respondents (76%) speak with either peers and/or industry about conflict management and resolution either “often” or “all the time”, with only (17%) finding such engagement to be nonessential.

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**Exposure to conflicts and levels of discourse Q7, Q9, Q10**

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2016 International Mediation & ADR Survey 20
RELEVANT FACTORS IN MEDIATION PRACTICE
The worldwide audience is interested in advocacy of mediation – of educating the Users on mediation and on developing uniform international standards. They are aware that education and qualifications for mediators are very important but found a gap in uniformity overall:

- Over 75% of stakeholders responded that User views on mediation are the most important factor as concerns their work in conflict management.
- Only 36% considered the time mediation takes to resolve a conflict as being extremely important (noteworthy against the importance placed on User views).
- Similarly, only 41% found the success rate of mediation as extremely important or the types of conflict mediation could be used for (39%).
- The importance of User views is only overshadowed slightly in certain regions by the importance of mediator qualifications and experience. Approximately 50% of respondents think it is extremely important to know what mediators think of the practice of mediation. Given that mediators are often unregulated and there is no current structured licensing or other regulatory requirement globally, and those that have become mediators have chosen to do so voluntarily to advance their careers or grow their business, this response makes sense. As compared to User views, this showcases perhaps the focus of the user-friendly and flexible process of mediation for the benefit of users.

Contrasted to the above set of questions, regions varied in their responses as to which areas were most beneficial for an organization to be shepherding at this time:

- **Africa** and **Latin America** represent two of the youngest pools aged 45 and under (40% and 38%, respectively). “Providing tools for Users” was the most important area IMI could provide a benefit according to both Africa (58%) and Latin America (64%).
- **Europe** comprises a slightly older population (32% aged 45 and under). “Setting high mediation standards that assure quality for users worldwide” was the most important area IMI could provide a benefit according to this region (49%).
- **Australia/New Zealand** has the most senior populations (7% aged 45 and under). “Influencing policy makers about promoting and using mediation and other forms of conflict management” was the most important area IMI could provide a benefit according to this region (52%).
- **North America** comprises the largest (35%) and also more senior (11% aged 45 and under) respondent pool. “Fostering measures that increase a common understanding of consensual dispute resolution processes in order to reduce the potential escalation of conflicts” was the most important area IMI could provide a benefit according to this region (30%).
- **Asia** comprises the third youngest population (35% aged 45 and under). “Setting high mediation standards that assure quality for users worldwide” was also the most important area IMI could provide a benefit according to this region (49%).
- Respondents from the **Middle East** represented too small of a base (13 respondents) to identify reliable trends. Its population was also quite senior (30% aged 45 and under). “Establishing a comprehensive code of professional conduct for certified mediators backed by a disciplinary process” was the most important area IMI could provide a benefit according to these respondents (50%).
User views are extremely important. The majority of all stakeholders (with the exception of Users themselves), find user views on conflict management to be extremely important – even more so than mediator views, mediation processes and statistical data on mediation.

- With slightly less intensity, 72% of all stakeholders find knowing how often users actually use mediation to be “important” (with only a majority (53%) of providers finding this information to be “extremely important”).

- A similar percentage of stakeholders (71%) find it “important” to know how often Users use other conflict resolution tools (though no majority of stakeholders found this data to be “extremely important”).

- As representatives of users, advisors found it the least important to know how often users use mediation (28%) and only slightly more important than users as to how often users use other conflict resolution tools (30%).

Regionally, user views are the single most important factor in Africa (77%), Europe (69%), Australia/NZ (68%) and North America (67%).

- Though also extremely important in Latin America (73%), the Middle East (69%), and Asia (57%), user views are not as important as mediator qualifications and experience in these jurisdictions.

How important are User views on conflict management to Stakeholders? Q11

- Regionally, user views are the single most important factor.
- The majority of all stakeholders (with the exception of Users themselves), find user views on conflict management to be extremely important – even more so than mediator views, mediation processes and statistical data on mediation.

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2016 International Mediation & ADR Survey
How important are Mediator views to Stakeholders? Q11

Mediator qualifications and experience most important to Users.
- The single most important factor (75%) for Users to know concerning their work in conflict management is what qualifications and experience a mediator has (compare to 63% of advisors, 68% of providers, 66% of mediators and 38% of other stakeholders such as government/NGOs who feel the same level of importance).
- Knowing what disciplinary proceedings a mediator may be subject to is also of the highest importance to the user stakeholder group (44%), but it does not hold the majority level of importance for any stakeholder.
- Knowing what mediators think about their profession is of highest importance to providers (60%), educators (59%) and other stakeholders such as government/NGOs (55%).

Regionally, Latin America (79%), the Middle East (76%), and Asia (58%) find mediator qualifications and experience to be the most important consideration in conflict management. A majority of other jurisdictions also find mediator qualifications to be extremely important (North America 65%, Europe 63%, Africa 61%, Australia/NZ 60%), but not as important as user views.
- Mediator views are extremely important in Latin America (73%), Africa (63%), Australia/NZ (55%), the Middle East (53%) and Asia (53%), but do not hold a majority level of importance in Europe (48%) or North America (43%).
- Disciplinary proceedings for mediators is starkly more important in Latin America (64%), Africa (63%), and the Middle East (53%), than it is in North America (38%), Europe (37%), Australia/NZ (36%) or Asia (31%).
How important are mediation processes to Stakeholders?

Mediation process itself less important than User views.
• A majority of all stakeholders except mediators (45%) and educators (45%) stated that the enforcement of mediation outcomes was extremely important.
• Mediation outcomes held the largest extreme importance for users (52%), providers (50%) and students (50%).
• Users also placed the largest importance (50%) of all stakeholders on when mediations are mandatory as opposed to voluntary.
• There otherwise appears to be a disconnect between the relatively low level of importance of knowing certain process aspects of mediation as opposed to the high level of importance in knowing user views about mediation overall.
• Advisors and mediators in particular placed relatively less importance on what the outcomes of mediation are (advisors 43%; mediators 37%); how long it takes to resolve a conflict through mediation (advisors 38%; mediators 31%), or the types of conflicts mediation can be used for (advisors 41%; mediators 34%) than other stakeholders.

Regionally, enforcement of mediations holds the least level of extreme importance in North America (36%) and Australia/NZ (26%), compared to majority views in other regions.
• Mediation outcomes were also less important in Australia/NZ (21%), Asia (28%), North America (40%) and Europe (40%), than in the other regions.
• Though slightly more important overall, a similar trend existed amongst the regions with respect to how long it takes to resolve a conflict through mediation.

2016 International Mediation & ADR Survey
How important is statistical data on mediation to Stakeholders?

Mediation statistics are most important to governments/NGOs.

- Perhaps unsurprisingly, the greatest interest in knowing the number of mediations conducted in one’s jurisdiction/region are government stakeholders (52%), with the largest regional interests in the Middle East* (53%), Latin America (46%), Africa (37%), and Europe (33%).

- Amongst the stakeholders, advisors attribute the least level of importance to regional mediation data (26%). Providers (39%) and users (37%) demonstrate the largest interest in knowing the number of mediations performed in their profession/industry, but no stakeholder exhibited a majority interest in this type of information.

- Regionally, the Middle East* (61%), Latin America (48%), Africa (36%) and Europe (33%) also exhibited the greatest interest in this category.

- Global mediation data has the greatest interest amongst government/NGO stakeholders (35%), students (24%), users (31%) and educators (31%), but has the least level of interest to advisors (20%).

- Regionally, the Middle East* (46%), Latin America (39%), and Europe (30%) exhibited the largest interest in this category.

*small base
In order to assess areas of importance in mediation, respondents were asked which areas they deemed most beneficial for IMI to be shepherding:

- Overall, respondents found all mentioned categories to be important to a certain extent.
- Areas which respondents found to be of the highest importance for IMI were: setting high mediation standards that assure quality for users worldwide (42%), influencing policy makers about promoting and using mediation and other forms of conflict management and resolution (41%), increasing access to justice through promoting dispute resolution choices that are appropriate for the circumstance (40%), fostering measures that increase a common understanding of consensual dispute resolution processes in order to reduce potential escalation of conflicts (38%), providing networking opportunities (37%), and establishing a comprehensive code of professional conduct for certified mediators backed by a disciplinary process (35%).
- Areas scoring the lowest in importance (i.e., “not important at all”) where enabling IMI to accomplish its Mission & Vision (19%), providing objective information to help choose advisors (19%), and establishing a code of conduct (14%).
- Regionally, the most important area for Africa (58%) and Latin America (64%) was providing tools for Users.
- The most important area for Asia (49%) and Europe (49%) was setting high mediation standards that assure quality for users worldwide.

- The most important area for Australia/ NZ (52%) was influencing policy makers.
- The most important area for North America (30%) and the Middle East (50%) was fostering measures that increase a common understanding of consensual dispute resolution processes in order to reduce the potential escalation of conflicts.
- In addition to the above, the other most important area for the Middle East (50%) was establishing a comprehensive code of professional conduct for certified mediators backed by a disciplinary process.

*small base
CHAPTER 4

MEDIATOR’S ROLE/FEATURES/OVERVIEW
The study results reflect the dependence on mediators for process decisions and the integrity of the sessions. Given that mediation is mostly unstructured and tailored to the individual needs of the mediating parties, the mediator is often instrumental in shaping the process, and potentially the outcome, of the mediation. For this reason, the survey endeavored to gain more insight into the professional backgrounds of mediators.

Overall, it appears that those involved in mediation do so alongside another profession, predominantly a legal one. The responses to Q25 might suggest that a reason for this is the typically low remuneration for mediation work. In relation to IMI, respondents suggested that they would like it to take a more active role in the promotion and support of mediation. Remuneration levels juxtaposed against interest in mediation suggest that engagement may in many cases be altruistic.
What proportion does mediation play as part of a mediator’s overall practice? (Q24)

“Respondents were asked whether mediation was their primary profession or whether they also performed other services”.

- Approximately 70% of the total respondents engaged in some other profession as well as mediation, with almost 50% of those respondents engaging in some other form of ADR.
  - This trend was more pronounced for males, with females more likely to pursue careers outside of the ADR field.
  - It is interesting to note that of those respondents who specified the “other service” they performed in addition to mediation, 35% said they practiced law; which was the most prevalent “other” service.
  - This would suggest that it is not uncommon practice for mediators to use their mediation skills within the scope of their legal practice.
  - Moreover, IMI certified mediators were much more likely to remain within the ADR field than any other demographic.

- Women more likely to seek work outside of ADR field

IMI Certified Mediators more likely to remain within ADR field
How much income is generated based solely on performing mediator services? Q25

The responses to this question help to shed light on the trend noticed in the previous question.

When asked about how much income was earned solely from mediation...”

• More than half the respondents answered that they earned less than $50,000 USD equivalent a year, and of those half earned less than $10,000 USD equivalent a year for their mediation services.

• By way of comparison, in 2014 the Organisation for Economic Cooperation and Development (OECD) found that the average yearly wage of member countries was $44,982 USD.

• This may explain why approximately 70% of the total respondents to the previous question stated that they engaged in some other profession, as it appears from the data that most mediators do not earn a sufficient income from their mediation work alone.

• It is worth highlighting also that approximately 10% of respondents undertook mediation on a purely voluntary basis.

Women more likely to seek work on volunteer basis

IMI Certified Mediators generally earn more than non-certified mediators

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In order to understand the qualifications of the respondents they were asked about their professional certification and licensing. There was a clear trend between certification in law and mediation (almost 86% of respondents answered that they were certified in both law and/or mediation), and this would seem to corroborate the previous data from Q24, with approximately two thirds of respondents have some form of professional license or certification in these fields.

Of those respondents who had some form of professional licensing or certification, the most prevalent were:
- Annual continuing professional education training (73%)
- Payment of annual dues/fees (70%)
- Adherence to a professional Code of Conduct (70%)

It is noteworthy that the next most prevalent response, proof of professional development activities, was a big decrease from these responses, being 34% of respondents.
When responding to ‘why’ the respondents chose to acquire such professional license/certification:

• The most common response, of which 57% of respondents selected, was to demonstrate professionalism.

• The next most prevalent responses were to signify personal credibility (42%), and also credibility for mediation itself (39%).

These responses suggest that the primary concern of respondents who acquire professional licensing or certification is to establish a sense of confidence in both themselves, and mediation, amongst stakeholders.

For those who seek IMI certification in particular, even more emphasis is placed on demonstrating professionalism (96%), business development (72%), and to signify personal credibility (75%), with an additional emphasis on enhancing the reputation of mediation (63%) and supporting the IMI mission generally (72%). For this demographic, obtaining an international stature (48%) was also significantly more relevant than other demographics.
Questions were asked of mediators about the type of support they valued in their profession. Though asked in the context of IMI, the responses appear to reflect general areas of attention which mediators would value in promoting the continued growth of the profession overall:

- On the basis of the responses to this question it is apparent that a commonly held desire is to provide support to the mediation community, with over 50% of respondents calling for some sort of support service.
- Specifically, respondents thought this support could take the form of providing a professional support network and community of practice (approximately 25% of respondents), marketing support (approximately 18% of respondents), and the coordination of worldwide promotional activities (approximately 17% of respondents).
- Some less commonly provided responses included providing administrative support for referrals (10%), providing some form of tangible diploma or certification (8%) and becoming the initial mediation contact amongst stakeholders (8%).

On the basis of the responses it is clear that respondents would like an organization to adopt the role of an “umbrella organization” in coordinating international awareness for mediation, and also facilitating a network of mediation providers.
CHAPTER 5
GROWING MEDIATION
Analysis of survey results in this Chapter related to those in the Education, Government, and ADR Training Provider sectors. Those surveyed in the Education sector have a strong demand for more coursework relating to mediation. Conversely, those in the Government sector, especially those in the legislative and executive branches of government, while being vaguely familiar with mediation, don’t seem to put the same weight to the importance of mediation. Even the judicial branch is seen by the respondents to recommend mediation as a time and resource management tool. Are Judges themselves of the opinion that mediation should only be used to clear their docket? Or do they firmly and genuinely believe that mediation can help parties in a dispute save time, money and also obtain judicial economy for the court system?

Despite the strong predictable increase in mediation training in the next five years, respondents desire mediation training criteria and qualifications to become more standardized.

With respect to web-based tools, despite favorable responses to the idea of having such automated tools for mediation, respondents conveyed a sense of reluctance. Many commented on the importance of face-to-face and in-person communication, overcoming language and interpersonal communication barriers, and other characteristics so essential to mediation such as hand and facial gestures, communication tone, and body language.
Hesitation about automating mediation.

83% of respondents indicated that there would be at least some interest in web-based/automated tools in the next five years. The greatest interest came from Asia (80%), Africa (62%), Europe (49%), Latin America (46%), and North America (36%). Yet comments were hesitant:

- **Asia**: “In India, in general, face to face interactions are always much more preferred over online ones, hence, web-based mediation, at the moment, does not seem to have much significance.”
- **Africa**: “Not yet popularised.”
- **Europe**: “I’m not sure about

automated tools even if some encouraging experience exists in Canada, but I’m convinced that we will see soon mediations through secured Conference calls.” “Web based mediation will become an important platform for consumer mediation.”

- **Latin America**: “The problem is that they don’t speak other languages and that makes their spectre so short.”
- **North America**: “Unfortunately, it appears this will be driven from the parties instead of the mediators themselves. But it will happen and ‘real soon now’”. “Power imbalance issues won’t be adequately addressed with automated tools. Their interest will be high, but it will only serve to allow them another opportunity to hide and avoid the issues of interpersonal communication and resolution.” “Interested... but feel an automated tool will not ever pick up on the nuances of tone of voice, and body language that assist a good mediator in being present with the parties in the dispute.”

- **Australia/NZ**: “Blatantly discourage and reject... These seductive tools and emissions distort and disguise the authentic face to face, hand in hand social interactions that share a common time and place together...”
How familiar are legislators generally about mediation? Q31
How familiar is the executive branch generally about mediation? Q34

The Government Sector were asked about their views as between various branches of government:

**Legislators.** Overall, only 17% of respondents stated that legislators had any familiarity at all with mediation, with the greatest level of familiarity appearing to come from Asia (40%), Australia/NZ (20%), Africa (27%), Latin America (15%), North America (13%) and Europe (11%).

- **Australia/NZ:** “Through the last decade in particular...legislators are muting mediation being discouraged as less lucrative or more profitable with civil litigation and established arbitration.”
- **Europe:** “Legislators are not paying any special attention to mediation from the fear that mediation cannot create sustainable income.”
- **Africa:** “Our legislators are completely ignorant of mediation.” “The Labour Relations Act is creating awareness”
- **Latin America:** “Congressmen are not really interested at all.”
- **North America:** “They have heard of it”

**Executive branch.** Overall, only 18% of respondents stated that the Executive Branch has any familiarity at all with mediation. Australia/NZ (40%), Africa (36%), Asia (35%), North America (17%) and Latin America (15%) had the highest level of familiarity.

- **Executive branch:** “Executive branch is interested but the problem is the bord try to copy other countries without taking their own culture.”
- **Africa:** “They don’t care, they need education.”
- **Australia/NZ:** “Executive department is largely composed of lawyers and communications backgrounds thus the term is familiar and often inconsequential.”
- **Europe:** “They are familiar, but not much on quality of the process more about results, number of mediated cases.” “Lack of knowledge and mediation/adr culture.”
- **North America:** “Used by agencies, provided as a tool for dispute resolution, train their lawyers and staff in either or both mediation and negotiation.”
Judicial branch most active.
• While only 8.7% of respondents stated that judges recommend mediation all of the time, 41% of respondents believe that judges recommend mediation most or some of the time.
• The highest proportion of judicial recommendations came from Asia (74%), Africa* (75%), Australia/NZ (60%), North America (46%), Latin America (45%), and Europe (41%).
• **Asia:** “A procedural step in court/other proceedings”
• **Australia/NZ:** “Judiciary departments might recommend frequently from position of overloaded schedules for family affairs or commercial relations. While others are more optimistic and experienced with small claims for same relationship purposes and cost issues.”
• **North America:** “Time and resource management tool, directive to more appropriate process than litigation.”
• **Europe:** “Due to lack of proper knowledge about mediation and due to its voluntary nature.”
• **Africa:** “Judges actually refer cases in their court to the LMDC for mediation although the referrals could be better in terms of numbers. Walk-in cases are presently more than court referred cases.”

*small base

If you are in Government, how often does the JUDICIARY recommend mediation?

39 2016 International Mediation & ADR Survey
Educators perceive large student interest in mediation.
• 53% of educators responding believe that their student bodies are either interested or exceedingly interested in mediation.
• **Africa:** “A great deal of awareness creation is needed.”
• **Europe:** “Universities should be interested however it is mostly treated as a hobby of a specific person and once that person leaves... the topic is removed from the curriculum. All our efforts to start a master study...have failed so far.”
• **North America:** “Courses are full.” “Small group of law students intensely interested; others are ignorant until they practice; some intense interest among undergraduate and graduate students in other fields.”
• **Asia:** “Students’ interest in mediation seems to be increasing over the past few years.”

Course offerings are rare.
• Students (54%) generally show disappointment in the fact that course offerings are either rare or only offered as a secondary course related to the more primary course on arbitration.
• Regionally, while only a small percentage of students in Australia/NZ (33%), Latin America* (7%) and Europe (5%) stated that courses were exceedingly widespread, the majority state it is not widespread at all (Europe 56%; Asia 44%, Latin America 56%).
• **Asia:** “Mediation has gradually made inroads but its spread is restricted only to few law schools.”
• **Africa:** “Poorly run and usually on the back of arbitration. Theoretical.”
• **Europe:** “School programs should be revised at all educational levels.”
• **North America:** “Widespread isn’t the issue. Quality and focus are the challenges.”
• **Australia/NZ:** “Many institutes and programs adopt or disguise the skills and theories once boldly transparent within other programs like commercial relations or public administration.”
Interest in training courses set to increase. • 63% of respondents believe that the level of interest in mediation training courses will increase over the next 5 years – 21% believe it will increase rapidly.

• Regionally, the quickest expected growth is in Africa (50%), Asia (38%), Latin America (31%), and the Middle East* (20%).

Australia/NZ respondents felt that interest is set to plateau (40%).

• Africa: “People are now about opportunities in building a career in mediation and the cost and time savings mediation provides.” “But not discerning as to quality of that training.”

• Asia: “Many law and management students, lawyers, judges and other interested participants have all shown increasing interest in understanding theory and practice of mediation. Demand for mediation’s growth... is going to register a significant growth in India in coming years.”

• North America: “Interest will increase – but in which form of mediation? Empowering individuals to resolve, or morphing into a diluted legal process?” “It will increase rapidly in some sectors, for example where changes in the justice system require systemic retooling, or where workplace legislation forces training.”

• Europe: “Competition between training institutes is strong as hardly any criteria are set.” “Interest will inevitably decrease if no or few mediations are conducted. Unless there is legislative support, mediation will not be able to become publicly known.” “The interest should be focussed on quality and advanced education.”

• Australia/NZ: “Considering demographic trends, transitions and intercultural difference, it is the solution.” “I think we have had our peak.” “Strong interest now... Won’t plateau for some time.”

• Latin America: “I would love that the interest in training mediators increase more in business.”
CUMULATED DATA RESULTS
March 2016 - September 2017
All of the data generated during Global Pound Conference (GPC) events belongs to the International Mediation Institute (IMI), a not-for-profit organization that has convened the GPC Series. All of the live data and data provided in IMI reports is publicly available, free of charge, and can be used and referred to by anyone. Neither the identity, nor the affiliation, of any participant may be revealed, however, unless their express consent was obtained in connection with any specific comment or information attributed to them. Anyone wishing to publish any GPC data or sections of any IMI reports generated during the GPC Series may do so freely, at no cost, provided they refer to IMI as the source of this data or information, and provided they promptly send a copy of their publication (e.g., within three (3) months) after its first date of appearance to gpcseries@imimediation.org, granting IMI permission to republish it free of charge on its website and on any relevant GPC Series websites. The entire data set will be available on request, following the publication of the final IMI Report on the GPC Series 2016-17.

NB: Please note that all percentages expressed during the voting results are based on the number of points each option actually obtained, compared to the maximum number of points that option could have obtained (which is 3 x the no. of people who voted on that question). It is a popularity ranking rather than a percentage of the total number of points allocated. As a result, the percentages do not add up to 100% in each question.
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Analytics
Analytics from the GPC PowerVote App

TOP used MODULES
1. Core Questions
2. Agenda
3. Discussion Questions
4. Attendees
5. Sponsors

- 4490 ATTENDEES LOGGED INTO THE APP
- 1415 ATTENDEES MADE A PROFILE
- 337453 TOTAL PAGEVIEWS
- 8099 TOTAL UNIQUE VISITORS

DATA from CHATS
+100 messages exchanged

+100 ATTENDEES WHO TOOK NOTES

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<td>19</td>
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Data from the Devices: Location Settings (per country)

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<td>United Kingdom</td>
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<tr>
<td>4</td>
<td>India</td>
<td>6.23%</td>
</tr>
<tr>
<td>5</td>
<td>France</td>
<td>5.33%</td>
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<tr>
<td>6</td>
<td>Hong Kong</td>
<td>4.79%</td>
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<td>7</td>
<td>South Africa</td>
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<td>Brazil</td>
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<td>Spain</td>
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<td>Australia</td>
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<td>18</td>
<td>Thailand</td>
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</tr>
<tr>
<td>19</td>
<td>New Zealand</td>
<td>1.85%</td>
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Q1. Delegate Information

Approximately how many times have you been involved in any dispute resolution proceedings (i.e., litigation, arbitration, conciliation and/or mediation)?
(2464 voters)

- More than 501 times: 21% (514 voters)
- 201 - 500 times: 12% (304 voters)
- 51 - 200 times: 20% (497 voters)
- 11 - 50 times: 20% (500 voters)
- 0 - 10 times: 26% (647 voters)
Q2. Delegate Information

In what kinds of dispute resolution processes have you most often been involved?

(2463 voters)

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<thead>
<tr>
<th>Process</th>
<th>Number</th>
<th>Percentage</th>
</tr>
</thead>
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<td>Litigation</td>
<td>609</td>
<td>25%</td>
</tr>
<tr>
<td>Arbitration</td>
<td>288</td>
<td>12%</td>
</tr>
<tr>
<td>Conciliation</td>
<td>66</td>
<td>3%</td>
</tr>
<tr>
<td>Mediation</td>
<td>695</td>
<td>28%</td>
</tr>
<tr>
<td>Adjudicative processes: Litigation &amp; Arbitration</td>
<td>276</td>
<td>11%</td>
</tr>
<tr>
<td>Non-Adjudicative processes: Conciliation &amp; Mediation</td>
<td>151</td>
<td>6%</td>
</tr>
<tr>
<td>Approximately equal amounts of adjudicative and consensual processes</td>
<td>180</td>
<td>7%</td>
</tr>
<tr>
<td>No typical process</td>
<td>120</td>
<td>5%</td>
</tr>
<tr>
<td>Other</td>
<td>78</td>
<td>3%</td>
</tr>
</tbody>
</table>

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Q3. Delegate Information
Within which jurisdiction do you usually work? (If your work involves several of these jurisdictions, please select the one in which you are primarily involved, or select the one you wish your votes to be counted towards today).
(2452 voters)

- Domestic: Your country of residence (1794) 73%
- Domestic: Another country (167) 6%
- International (423) 17%
- Other (68) 3%
Q4. Delegate Information
How many people work in your organisation?
(2414 voters)

- 7% > 10000 people (166)
- 2% 5001-10000 people (58)
- 9% 1001-5000 people (210)
- 6% 501-1000 people (136)
- 11% 151-500 people (263)
- 9% 51-150 people (215)
- 17% 11-50 people (416)
- 39% 1-10 people (950)
Q5. Delegate Information

Which is your gender?
(2439 voters)

- Male: 54% (1316 voters)
- Female: 46% (1118 voters)
- Other: 0.2% (5 voters)
Session 1
Session 1 – Demographic Results
Which category of stakeholder will you vote as today?
(If your regular practice involves several of these options, please select the one in which you have primarily been involved).
(2878 voters)

- Party (user of dispute resolution services): A person or in-house counsel involved in commercial disputes
  - 433 votes, 15%
- Advisor: An external lawyer or consultant to a party
  - 734 votes, 26%
- Adjudicative Provider: A judge, arbitrator, or organisation providing their services
  - 407 votes, 14%
- Non-Adjudicative Provider: A conciliator, mediator or organisation providing such services
  - 873 votes, 30%
- Influencer: A researcher, educator, employee/representative of government, or any other person not in categories 1-4 above
  - 431 votes, 15%

All numbers have been rounded up to the closest integers.
Session 1 Question 1: Global Results

What outcomes do parties most often want before starting a process in commercial civil dispute resolution?

(If you rank your three preferred answers in order of priority: ‘1st choice’ = 3 points, ‘2nd choice’ = 2 points, ‘3rd choice’ = 1 point).

(17219 points; 2874 voters; total possible points per answer = 3 x 2874 = 8622)

1. Action-focused (e.g. prevent action or require an action from one of the parties) 60%  
   (5156)

2. Financial (e.g. damages, compensation, etc.) 69%  
   (5956)

3. Judicial (e.g. setting a legal precedent) 12%  
   (1047)

4. Psychological (e.g., vindication, closure, being heard, procedural fairness) 30%  
   (2547)

5. Relationship-focused (e.g. terminate or preserve a relationship) 28%  
   (2411)

Other 1%  
(102)

All numbers have been rounded up to the closest integers.
Session 1 Question 1: Cross-Sorted Results (2874 voters)

<table>
<thead>
<tr>
<th>Party (433)</th>
<th>Advisor (734)</th>
<th>Adjudicative Provider (403)</th>
<th>Non Adjudicative (873)</th>
<th>Influencer (431)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial</td>
<td>Financial</td>
<td>Financial</td>
<td>Financial</td>
<td>Financial</td>
</tr>
<tr>
<td>65%</td>
<td>75%</td>
<td>73%</td>
<td>64%</td>
<td>65%</td>
</tr>
<tr>
<td>Action focused</td>
<td>Action focused</td>
<td>Action focused</td>
<td>Action focused</td>
<td>Action focused</td>
</tr>
<tr>
<td>64%</td>
<td>61%</td>
<td>58%</td>
<td>57%</td>
<td>62%</td>
</tr>
<tr>
<td>Relationship</td>
<td>Relationship</td>
<td>Psychological</td>
<td>Psychological</td>
<td>Psychological</td>
</tr>
<tr>
<td>33%</td>
<td>26%</td>
<td>26%</td>
<td>39%</td>
<td>34%</td>
</tr>
<tr>
<td>Psychological</td>
<td>Psychological</td>
<td>Relationship</td>
<td>Relationship</td>
<td>Relationship</td>
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<tr>
<td>21%</td>
<td>23%</td>
<td>26%</td>
<td>30%</td>
<td>25%</td>
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<tr>
<td>Judicial</td>
<td>Judicial</td>
<td>Judicial</td>
<td>Judicial</td>
<td>Judicial</td>
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<tr>
<td>14%</td>
<td>14%</td>
<td>17%</td>
<td>9%</td>
<td>13%</td>
</tr>
<tr>
<td>Other</td>
<td>Other</td>
<td>Other</td>
<td>Other</td>
<td>Other</td>
</tr>
<tr>
<td>2%</td>
<td>1%</td>
<td>1%</td>
<td>1%</td>
<td>1%</td>
</tr>
</tbody>
</table>

All numbers have been rounded up to the closest integers.
Session 1 Question 2: Global Results

When parties involved in commercial disputes are choosing the type(s) of dispute resolution process(es) to use, which of the following has the most influence?

(16947 points; 2827 voters; total possible points per answer = 3 x 2827 = 8481)

- **1. Advice (e.g. from lawyer or other advisor)**
  - (4917) points
  - 58%

- **2. Confidentiality expectations**
  - (1652) points
  - 19%

- **4. Industry practices**
  - (1170) points
  - 14%

- **3. Efficiency (e.g. time/cost to achieve outcome)**
  - (5173) points
  - 61%

- **5. Predictability of outcome**
  - (2400) points
  - 28%

- **6. Relationships (e.g. preventing conflict escalation)**
  - (1535) points
  - 18%

**Other**

- (100) points
- 1%

*All numbers have been rounded up to the closest integers.*
Session 1 Question 2: Cross-Sorted Results (2827 voters)

All numbers have been rounded up to the closest integers.
Session 1 Question 3: Global Results

When lawyers (whether in-house or external) make recommendations to parties about procedural options for resolving commercial dispute, which of the following has the most influence?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point)

(16677 points; 2782 voters; total possible points per answer = 3 x 2782 = 8346)

1. Familiarity with a particular type of dispute resolution process (4950)
   - 59%

2. Industry practices (1825)
   - 22%

3. Impact on costs/fees the lawyer can charge (3324)
   - 40%

4. The party's relationships with the other party(ies) or stakeholders (2123)
   - 25%

5. The type of outcome requested by the party (e.g. money, an injunction, etc.) (4310)
   - 52%

Other (145)
- 2%

All numbers have been rounded up to the closest integers.
Session 1 Question 3: Cross-Sorted Results (2782 voters)

- **Party** (404)
  - Familiarity: 53%
  - Type of outcome: 52%
  - Impact on Cost/fees: 41%
  - Party relationship: 31%
  - Industry Practices: 21%
  - Other: 2%

- **Advisor** (723)
  - Familiarity: 57%
  - Type of outcome: 55%
  - Impact on Cost/fees: 35%
  - Party relationship: 27%
  - Industry Practices: 24%
  - Other: 3%

- **Adjudicative Provider** (403)
  - Familiarity: 61%
  - Type of outcome: 52%
  - Impact on Cost/fees: 43%
  - Industry Practices: 22%
  - Party relationship: 21%
  - Other: 1%

- **Non Adjudicative** (837)
  - Familiarity: 63%
  - Type of outcome: 49%
  - Impact on Cost/fees: 41%
  - Industry Practices: 26%
  - Party relationship: 20%
  - Other: 2%

- **Influencer** (415)
  - Familiarity: 65%
  - Type of outcome: 47%
  - Impact on Cost/fees: 43%
  - Industry Practices: 24%
  - Party relationship: 21%
  - Other: 0%

*All numbers have been rounded up to the closest integers.*

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Session 1 Question 4: Global Results

What role do parties involved in commercial disputes want providers to take in the dispute resolution processes?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’ = 3 points, ‘2nd choice’ = 2 points, ‘3rd choice’ = 1 point)

(16454 points; 2754 voters; total possible points per answer = 3 x 2754 = 8262)

- 5. The parties initially do not have a preference but seek guidance from the providers regarding optimal ways of resolving their dispute (5060 points; 61%)
- 2. The providers decide on the process and the parties decide how the dispute is resolved (3406 points; 41%)
- 1. The parties decide how the process is conducted and how the dispute is resolved (the providers just assist) (3207 points; 39%)
- 3. The parties decide on the process and the providers decide how the dispute is resolved (2501 points; 30%)
- 4. The providers decide on the process and how the dispute is resolved (2126 points; 26%)
- Other (154 points; 2%)

All numbers have been rounded up to the closest integers.
### Session 1 Question 4: Cross-Sorted Results (2754 voters)

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<th>Advisor (711)</th>
<th>Adjudicative Provider (400)</th>
<th>Non Adjudicative (835)</th>
<th>Influencer (409)</th>
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<tr>
<td><strong>Parties initially do not have a preference</strong></td>
<td>56%</td>
<td>58%</td>
<td>57%</td>
<td>68%</td>
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<td><strong>Parties decide</strong></td>
<td>46%</td>
<td>38%</td>
<td>39%</td>
<td>51%</td>
</tr>
<tr>
<td><strong>Parties decide process and Providers decide outcome</strong></td>
<td>39%</td>
<td>36%</td>
<td>37%</td>
<td>35%</td>
</tr>
<tr>
<td><strong>Providers decide on process and Parties decide outcome</strong></td>
<td>38%</td>
<td>35%</td>
<td>24%</td>
<td>29%</td>
</tr>
<tr>
<td><strong>Provider decide</strong></td>
<td>20%</td>
<td>30%</td>
<td>27%</td>
<td>20%</td>
</tr>
<tr>
<td><strong>Other</strong></td>
<td>1%</td>
<td>2%</td>
<td>2%</td>
<td>2%</td>
</tr>
</tbody>
</table>

“All numbers have been rounded up to the closest integers.”

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Session 1 Question 5: Global Results

What role do parties involved in commercial disputes typically want lawyers (i.e., in-house or external counsel) to take in the dispute resolution processes?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point)

(16371 points; 2740 voters; total possible points per answer = 3 x 2740 = 8220)

1. Acting as coaches, providing advice but not attending (1071)
2. Acting as advisors and accompanying parties but not interacting with other parties or providers (2605)
3. Participating in the process by offering expert opinions, not acting on behalf of parties (4748)
4. Working collaboratively with parties to navigate the process. May request actions on behalf of a party (4930)
5. Speaking for parties and/or advocating on a party’s behalf (4748)
6. Parties do not normally want lawyers to be involved (2401)

All numbers have been rounded up to the closest integers.
### Session 1 Question 5: Cross-Sorted Results (2740 voters)

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<th>Advisor (718)</th>
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<tr>
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<td>Participating in the process...</td>
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<td>Participating in the process...</td>
</tr>
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<td>Acting as advisors and...</td>
<td>Acting as advisors and...</td>
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</tr>
<tr>
<td>Acting as coaches, providing...</td>
<td>Acting as coaches, providing...</td>
<td>Acting as coaches, providing...</td>
<td>Acting as coaches, providing...</td>
<td>Acting as coaches, providing...</td>
</tr>
<tr>
<td>Parties do not normally...</td>
<td>Parties do not normally...</td>
<td>Parties do not normally...</td>
<td>Parties do not normally...</td>
<td>Parties do not normally...</td>
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<tr>
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<td>Other</td>
<td>Other</td>
<td>Other</td>
</tr>
</tbody>
</table>

- Party: 1% Working collaboratively, 48% Speaking for parties, 36% Participating in the process, 30% Acting as advisors and, 16% Acting as coaches, providing, 6% Parties do not normally, 1% Other
- Advisor: 61% Working collaboratively, 67% Speaking for parties, 61% Working collaboratively, 65% Speaking for parties
- Adjudicative Provider: 59% Working collaboratively, 28% Participating in the process, 27% Acting as advisors and, 9% Acting as coaches, providing, 7% Parties do not normally, 4% Other
- Non Adjudicative: 58% Working collaboratively, 33% Participating in the process, 30% Acting as advisors and, 15% Acting as coaches, providing, 7% Parties do not normally, 1% Other
- Influencer: 61% Working collaboratively, 54% Speaking for parties, 35% Participating in the process, 29% Acting as advisors and, 13% Acting as coaches, providing, 6% Parties do not normally, 1% Other

All numbers have been rounded up to the closest integers.
Session 2
Session 2 – Demographic Results

Which category of stakeholder will you vote as today?
(If your regular practice involves several of these options, please select the one in which you have primarily been involved).

(2474 voters)

- **Party (user of dispute resolution services):** A person or in-house counsel involved in commercial disputes
  - 340 votes
  - 14%

- **Advisor:** An external lawyer or consultant to a party
  - 632 votes
  - 26%

- **Adjudicative Provider:** A judge, arbitrator, or organisation providing their services
  - 366 votes
  - 15%

- **Non-Adjudicative Provider:** A conciliator, mediator or organisation providing such services
  - 762 votes
  - 31%

- **Influencer:** A researcher, educator, employee/representative of government, or any other person not in categories 1-4 above
  - 374 votes
  - 15%

*All numbers have been rounded up to the closest integers.*
Session 2 Question 1: Global Results

What outcomes do providers tend to prioritise in commercial dispute resolution?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’ = 3 points, ‘2nd choice’ = 2 points, ‘3rd choice’ = 1 point)

(14636 points; 2446 voters; total possible points per answer = 3 x 2446 = 7338)

1. Action-focused (e.g. prevent action or require an action from one of the parties) 61%
2. Financial (e.g. damages, compensation, etc.) 60%
3. Judicial (e.g. setting a legal precedent) 18%
4. Psychological (e.g., vindication, closure, being heard, procedural fairness) 26%
5. Relationship-focused (e.g. terminate or preserve a relationship) 32%

Other 2%

All numbers have been rounded up to the closest integers.
Session 2 Question 1: Cross-Sorted Results (2446 voters)

<table>
<thead>
<tr>
<th></th>
<th>Party (322)</th>
<th>Advisor (632)</th>
<th>Adjudicative Provider (357)</th>
<th>Non Adjudicative (761)</th>
<th>Influencer (374)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial</td>
<td>64%</td>
<td>65%</td>
<td>62%</td>
<td>55%</td>
<td>63%</td>
</tr>
<tr>
<td>Action-focused</td>
<td>64%</td>
<td>64%</td>
<td>60%</td>
<td>54%</td>
<td>58%</td>
</tr>
<tr>
<td>Relationship-focused</td>
<td>29%</td>
<td>28%</td>
<td>28%</td>
<td>43%</td>
<td>29%</td>
</tr>
<tr>
<td>Judicial</td>
<td>23%</td>
<td>21%</td>
<td>25%</td>
<td>33%</td>
<td>27%</td>
</tr>
<tr>
<td>Psychological</td>
<td>18%</td>
<td>20%</td>
<td>20%</td>
<td>11%</td>
<td>20%</td>
</tr>
<tr>
<td>Other</td>
<td>1%</td>
<td>2%</td>
<td>3%</td>
<td>3%</td>
<td>1%</td>
</tr>
</tbody>
</table>

All numbers have been rounded up to the closest integers.

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Session 2 Question 2: Global Results

The outcome of a commercial dispute is determined primarily by which of the following?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’ = 3 points, ‘2nd choice’ = 2 points, ‘3rd choice’ = 1 point)

(14659 points; 2448 voters; total possible points per answer = 3 x 2448 = 7344)

1. Consensus: the parties’ subjective interests  (4632)  63%
2. Culture: based cultural and/or religious norms  (4239)  58%
3. Equity: general principles of fairness  (3572)  49%
4. Rule of Law: findings of fact and law or other norms  (1057)  14%
5. Status: deferring to authority/hierarchies  (980)  13%

Other  (179)  2%

All numbers have been rounded up to the closest integers.
### Session 2 Question 2: Cross-Sorted Results (2448 voters)

<table>
<thead>
<tr>
<th>Party (332)</th>
<th>Advisor (625)</th>
<th>Adjudicative Provider (359)</th>
<th>Non Adjudicative (762)</th>
<th>Influencer (370)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Consensus</td>
<td>Rule of law</td>
<td>Rule of law</td>
<td>Consensus</td>
<td>Consensus</td>
</tr>
<tr>
<td>66%</td>
<td>67%</td>
<td>67%</td>
<td>72%</td>
<td>60%</td>
</tr>
<tr>
<td>Rule of law</td>
<td>Consensus</td>
<td>Consensus</td>
<td>Equity</td>
<td>Rule of law</td>
</tr>
<tr>
<td>59%</td>
<td>55%</td>
<td>59%</td>
<td>49%</td>
<td>57%</td>
</tr>
<tr>
<td>Equity</td>
<td>Equity</td>
<td>Equity</td>
<td>Rule of law</td>
<td>Equity</td>
</tr>
<tr>
<td>48%</td>
<td>49%</td>
<td>51%</td>
<td>45%</td>
<td>46%</td>
</tr>
<tr>
<td>Status</td>
<td>Status</td>
<td>Culture</td>
<td>Culture</td>
<td>Status</td>
</tr>
<tr>
<td>13%</td>
<td>13%</td>
<td>12%</td>
<td>16%</td>
<td>17%</td>
</tr>
<tr>
<td>Culture</td>
<td>Culture</td>
<td>Status</td>
<td>Status</td>
<td>Culture</td>
</tr>
<tr>
<td>13%</td>
<td>13%</td>
<td>8%</td>
<td>14%</td>
<td>15%</td>
</tr>
<tr>
<td>Other</td>
<td>Other</td>
<td>Other</td>
<td>Other</td>
<td>Other</td>
</tr>
<tr>
<td>1%</td>
<td>2%</td>
<td>2%</td>
<td>3%</td>
<td>3%</td>
</tr>
</tbody>
</table>

*All numbers have been rounded up to the closest integers.*

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Session 2 Question 3: Global Results

In commercial disputes, what is achieved by participating in a non-adjudicative process (mediation or conciliation) (whether voluntary or involuntary - e.g. court ordered)?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’ = 3 points, ‘2nd choice’ = 2 points, ‘3rd choice’ = 1 point)

(14832 points; 2452 voters; total possible points per answer = 3 x 2452 = 7356)

1. Better knowledge of the strengths/weaknesses of the case or likelihood of settlement (2883)
   - 39%

2. Compliance (e.g. avoiding cost sanctions, meeting contractual obligations) (2871)
   - 18%

3. Improving or restoring relationships (2883)
   - 39%

4. Reduced costs and expenses (3686)
   - 50%

5. Retaining control over the outcome (3369)
   - 46%

6. Tactical/strategic advantage (e.g. delay) (624)
   - 8%

Other (59)
   - 1%

All numbers have been rounded up to the closest integers.
## Session 2 Question 3: Cross-Sorted Results (2452 voters)

<table>
<thead>
<tr>
<th>Party (329)</th>
<th>Advisor (626)</th>
<th>Adjudicative Provider (366)</th>
<th>Non Adjudicative (761)</th>
<th>Influencer (370)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Reduced costs and expenses</td>
<td>Reduced costs and expenses</td>
<td>Reduced costs and expenses</td>
<td>Retaining control over the...</td>
<td>Reduced costs and expenses</td>
</tr>
<tr>
<td>49%</td>
<td>49%</td>
<td>50%</td>
<td>58%</td>
<td>52%</td>
</tr>
<tr>
<td>Better knowledge of the...</td>
<td>Better knowledge of the...</td>
<td>Better knowledge of the...</td>
<td>Improved or restoring relationships</td>
<td>Retaining control over the...</td>
</tr>
<tr>
<td>42%</td>
<td>46%</td>
<td>43%</td>
<td>38%</td>
<td>46%</td>
</tr>
<tr>
<td>Improving or restoring relationships</td>
<td>Improving or restoring relationships</td>
<td>Improving or restoring relationships</td>
<td>Better knowledge of the...</td>
<td>Improved or restoring relationships</td>
</tr>
<tr>
<td>41%</td>
<td>38%</td>
<td>41%</td>
<td>33%</td>
<td>40%</td>
</tr>
<tr>
<td>Retaining control over the...</td>
<td>Retaining control over the...</td>
<td>Improved or restoring relationships</td>
<td>Improved or restoring relationships</td>
<td>Better knowledge of the...</td>
</tr>
<tr>
<td>38%</td>
<td>37%</td>
<td>41%</td>
<td>38%</td>
<td>33%</td>
</tr>
<tr>
<td>Compliance</td>
<td>Compliance</td>
<td>Compliance</td>
<td>Compliance</td>
<td>Compliance</td>
</tr>
<tr>
<td>20%</td>
<td>21%</td>
<td>18%</td>
<td>15%</td>
<td>21%</td>
</tr>
<tr>
<td>Tactical/strategic advantage</td>
<td>Tactical/strategic advantage</td>
<td>Tactical/strategic advantage</td>
<td>Tactical/strategic advantage</td>
<td>Tactical/strategic advantage</td>
</tr>
<tr>
<td>9%</td>
<td>8%</td>
<td>6%</td>
<td>4%</td>
<td>9%</td>
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<td>Other</td>
<td>Other</td>
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<td>Other</td>
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<tr>
<td>0%</td>
<td>1%</td>
<td>1%</td>
<td>0%</td>
<td>0%</td>
</tr>
</tbody>
</table>

*All numbers have been rounded up to the closest integers.*
Session 2 Question 4: Global Results

Who is primarily responsible for ensuring parties involved in commercial disputes understand their process options, and the possible consequences of each process before deciding which one to use?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’ = 3 points, ‘2nd choice’ = 2 points, ‘3rd choice’ = 1 point)

(14478 points; 2428 voters; total possible points per answer = 3 x 2428 = 8262)

1. Adjudicative Providers: judges and arbitrators or their organisations
   - 27% (1970)

2. External lawyers
   - 59% (4332)

3. Governments/ministries of justice
   - 11% (785)

4. In-house lawyers
   - 55% (4039)

5. Non-Adjudicative Providers: mediators and conciliators or their organisations
   - 29% (2133)

6. Parties (non-legal personnel)
   - 16% (1163)

Other
   - 1% (56)

All numbers have been rounded up to the closest integers.
### Session 2 Question 4: Cross-Sorted Results (2428 voters)

<table>
<thead>
<tr>
<th>Party</th>
<th>Advisor (612)</th>
<th>Adjudicative Provider (362)</th>
<th>Non Adjudicative (751)</th>
<th>Influencer (363)</th>
</tr>
</thead>
<tbody>
<tr>
<td>In-house lawyers</td>
<td>65% External lawyers</td>
<td>73% External lawyers</td>
<td>62% External lawyers</td>
<td>53% In-house lawyers</td>
</tr>
<tr>
<td>External lawyers</td>
<td>55% In-house lawyers</td>
<td>60% In-house lawyers</td>
<td>55% In-house lawyers</td>
<td>49% External lawyers</td>
</tr>
<tr>
<td>Adjudicative Providers</td>
<td>26% Adjudicative Providers</td>
<td>25% Adjudicative Providers</td>
<td>37% Adjudicative Providers</td>
<td>43% Adjudicative Providers</td>
</tr>
<tr>
<td>Non Adjudicative Providers</td>
<td>23% Non Adjudicative Providers</td>
<td>20% Non Adjudicative Providers</td>
<td>23% Non Adjudicative Providers</td>
<td>23% Non Adjudicative Providers</td>
</tr>
<tr>
<td>Parties</td>
<td>20% Parties</td>
<td>13% Parties</td>
<td>13% Governments/mi...</td>
<td>12% Parties</td>
</tr>
<tr>
<td>Governments/ministries of justice</td>
<td>10% Governments/ministries of justice</td>
<td>8% Governments/ministries of justice</td>
<td>8% Governments/ministries of justice</td>
<td>18% Governments/ministries of justice</td>
</tr>
<tr>
<td>Other</td>
<td>1% Other</td>
<td>1% Other</td>
<td>1% Other</td>
<td>1% Other</td>
</tr>
</tbody>
</table>

*All numbers have been rounded up to the closest integers.*

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## Session 2 Question 5: Global Results

Currently, the most effective commercial dispute resolution processes usually involve which of the following? (Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point) (14002 points; 2401 voters; total possible points per answer = 3 x 2401 = 7203)

<table>
<thead>
<tr>
<th>Rank</th>
<th>Description</th>
<th>Votes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.</td>
<td>Adjudicative dispute resolution methods (litigation or arbitration)</td>
<td>1973</td>
</tr>
<tr>
<td>2.</td>
<td>Combining adjudicative and non-adjudicative processes (e.g. arbitration/litigation with mediation/conciliation)</td>
<td>3630</td>
</tr>
<tr>
<td>3.</td>
<td>Encouragement by courts, tribunals or other providers to reduce time and/or costs</td>
<td>2934</td>
</tr>
<tr>
<td>4.</td>
<td>Non-adjudicative dispute resolution methods (mediation or conciliation)</td>
<td>3139</td>
</tr>
<tr>
<td>5.</td>
<td>Pre-dispute or pre-escalation processes to prevent disputes</td>
<td>2759</td>
</tr>
<tr>
<td>6.</td>
<td>Technology to enable faster, cheaper procedures, (e.g. Online Dispute Resolution, electronic administration, remote hearings)</td>
<td>588</td>
</tr>
<tr>
<td></td>
<td>Other</td>
<td>44</td>
</tr>
</tbody>
</table>

All numbers have been rounded up to the closest integers.
### Session 2 Question 5: Cross-Sorted Results (2401 voters)

<table>
<thead>
<tr>
<th>Party</th>
<th>Advisor</th>
<th>Adjudicative Provider</th>
<th>Non Adjudicative</th>
<th>Influencer</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(321)</td>
<td>(609)</td>
<td>(354)</td>
<td>(364)</td>
</tr>
<tr>
<td>Pre-dispute or pre-escalation processes</td>
<td>50%</td>
<td>39%</td>
<td>33%</td>
<td>41%</td>
</tr>
<tr>
<td>Combining adjudicative and non-adjudicative</td>
<td>50%</td>
<td>55%</td>
<td>58%</td>
<td>51%</td>
</tr>
<tr>
<td>Non-adjudicative dispute resolution</td>
<td>41%</td>
<td>37%</td>
<td>36%</td>
<td>39%</td>
</tr>
<tr>
<td>Adjudicative dispute resolution</td>
<td>28%</td>
<td>32%</td>
<td>33%</td>
<td>27%</td>
</tr>
<tr>
<td>Encouragement by courts</td>
<td>23%</td>
<td>28%</td>
<td>27%</td>
<td>30%</td>
</tr>
<tr>
<td>Technology to enable faster...</td>
<td>9%</td>
<td>7%</td>
<td>8%</td>
<td>7%</td>
</tr>
<tr>
<td>Other</td>
<td>0%</td>
<td>1%</td>
<td>1%</td>
<td>0%</td>
</tr>
</tbody>
</table>

*All numbers have been rounded up to the closest integers.*

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Session 3
## Session 3 – Demographic Results

Which category of stakeholder will you vote as today?
(If your regular practice involves several of these options, please select the one in which you have primarily been involved).
(2207 voters)

<table>
<thead>
<tr>
<th>Category</th>
<th>Percentage</th>
<th>Votes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Party (user of dispute resolution services): A person or in-house counsel involved in commercial disputes</td>
<td>15%</td>
<td>326</td>
</tr>
<tr>
<td>Advisor: An external lawyer or consultant to a party</td>
<td>25%</td>
<td>557</td>
</tr>
<tr>
<td>Adjudicative Provider: A judge, arbitrator, or organisation providing their services</td>
<td>13%</td>
<td>297</td>
</tr>
<tr>
<td>Non-Adjudicative Provider: A conciliator, mediator or organisation providing such services</td>
<td>32%</td>
<td>698</td>
</tr>
<tr>
<td>Influencer: A researcher, educator, employee/representative of government, or any other person not in categories 1-4 above</td>
<td>15%</td>
<td>329</td>
</tr>
</tbody>
</table>

*All numbers have been rounded up to the closest integers.*
Session 3 Question 1: Global Results

What are the main obstacles or challenges parties face when seeking to resolve commercial disputes?
(Please rank your 3 preferred answers in order of priority: ‘1st choice’ = 3 points, ‘2nd choice’ = 2 points, ‘3rd choice’ = 1 point)
(13166 points; 2198 voters; total possible points per answer = 3 x 2198 = 6594)

1. Emotional, social, or cultural constraints (2217) 34%
2. Financial or time constraints (3897) 59%
3. Inadequate range of options available to resolve disputes (1214) 18%
4. Insufficient knowledge of options available to resolve disputes (3440) 52%
5. Uncertainty (e.g. unpredictable behaviour or lack of confidence in providers) (2265) 34%

All numbers have been rounded up to the closest integers.
### Session 3 Question 1: Cross-Sorted Results (2198 voters)

<table>
<thead>
<tr>
<th>Category</th>
<th>Party (326)</th>
<th>Advisor (549)</th>
<th>Adjudicative Provider (297)</th>
<th>Non Adjudicative</th>
<th>Influencer (329)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial or time constraints</td>
<td>60%</td>
<td>67%</td>
<td>62%</td>
<td></td>
<td>59%</td>
</tr>
<tr>
<td>Insufficient knowledge of options</td>
<td>39%</td>
<td>43%</td>
<td>55%</td>
<td>62%</td>
<td>58%</td>
</tr>
<tr>
<td>Uncertainty</td>
<td>38%</td>
<td>36%</td>
<td>38%</td>
<td></td>
<td>33%</td>
</tr>
<tr>
<td>Emotional, social, or cultural</td>
<td>38%</td>
<td>34%</td>
<td>26%</td>
<td>35%</td>
<td>33%</td>
</tr>
<tr>
<td>Inadequate range of options</td>
<td>21%</td>
<td>17%</td>
<td>17%</td>
<td>20%</td>
<td>17%</td>
</tr>
<tr>
<td>Other</td>
<td>3%</td>
<td>2%</td>
<td>1%</td>
<td>2%</td>
<td>1%</td>
</tr>
</tbody>
</table>

All numbers have been rounded up to the closest integers.
Session 3 Question 2: Global Results

To improve the future of commercial dispute resolution, which of the following processes and tools should be prioritised?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’ = 3 points, ‘2nd choice’ = 2 points, ‘3rd choice’ = 1 point)

(13066 points; 2191 voters; total possible points per answer = 3 x 2191 = 6573)

1. Adjudicative dispute resolution methods (litigation or arbitration) (655)
   10%

2. Combining adjudicative and non-adjudicative processes (e.g. arbitration/litigation with mediation/conciliation) (2928)
   45%

3. Encouragement by courts, tribunals or other providers to reduce time and/or costs (2806)
   32%

4. Non-adjudicative dispute resolution methods (mediation or conciliation) (2806)
   43%

5. Pre-dispute or pre-escalation processes to prevent disputes (3363)
   51%

6. Technology to enable faster, cheaper procedures, (e.g. Online Dispute Resolution, electronic administration, remote hearings) (1216)
   18%

Other (67)
1%

All numbers have been rounded up to the closest integers.
<table>
<thead>
<tr>
<th>Party</th>
<th>Advisor</th>
<th>Adjudicative Provider</th>
<th>Non Adjudicative</th>
<th>Influencer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-dispute or preescalation processes</td>
<td>Pre-dispute or preescalation processes</td>
<td>Combining adjudicative and non-adjudicative</td>
<td>Non-adjudic dispute resolution methods</td>
<td>Pre-dispute or preescalation processes</td>
</tr>
<tr>
<td>55%</td>
<td>47%</td>
<td>54%</td>
<td>58%</td>
<td>53%</td>
</tr>
<tr>
<td>Combining adjudicative and non-adjudicative</td>
<td>Combining adjudicative and non-adjudicative</td>
<td>Pre-dispute or preescalation processes</td>
<td>Combining adjudicative and non-adjudicative</td>
<td>44%</td>
</tr>
<tr>
<td>46%</td>
<td>47%</td>
<td>48%</td>
<td>54%</td>
<td>38%</td>
</tr>
<tr>
<td>Non-adjudic dispute resolution methods</td>
<td>Encouragement by courts</td>
<td>Non-adjudic dispute resolution methods</td>
<td>Combining adjudicative and non-adjudicative</td>
<td>38%</td>
</tr>
<tr>
<td>39%</td>
<td>36%</td>
<td>34%</td>
<td>38%</td>
<td>38%</td>
</tr>
<tr>
<td>Encouragement by courts</td>
<td>Non-adjudic dispute resolution methods</td>
<td>Encouragement by courts</td>
<td>Encouragement by courts</td>
<td>30%</td>
</tr>
<tr>
<td>30%</td>
<td>34%</td>
<td>33%</td>
<td>30%</td>
<td>30%</td>
</tr>
<tr>
<td>Technology to enable faster...</td>
<td>Technology to enable faster...</td>
<td>Technology to enable faster...</td>
<td>Technology to enable faster...</td>
<td>16%</td>
</tr>
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<td>20%</td>
<td>20%</td>
<td>15%</td>
<td>16%</td>
<td>22%</td>
</tr>
<tr>
<td>Adjudicative dispute resolution methods</td>
<td>Adjudicative dispute resolution methods</td>
<td>Adjudicative dispute resolution methods</td>
<td>Adjudicative dispute resolution methods</td>
<td>11%</td>
</tr>
<tr>
<td>10%</td>
<td>16%</td>
<td>14%</td>
<td>3%</td>
<td>11%</td>
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<td>Other</td>
<td>Other</td>
<td>Other</td>
<td>Other</td>
<td>Other</td>
</tr>
<tr>
<td>0%</td>
<td>1%</td>
<td>1%</td>
<td>1%</td>
<td>1%</td>
</tr>
</tbody>
</table>

All numbers have been rounded up to the closest integers.

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Session 3 Question 3: Global Results

Which of the following areas would most improve commercial dispute resolution?
(Please rank your 3 preferred answers in order of priority: ‘1st choice’ = 3 points, ‘2nd choice’ = 2 points, ‘3rd choice’ = 1 point)
(12710 points; 2159 voters; total possible points per answer = 3 x 2159 = 6477)

1. Accreditation or certification systems for dispute resolution providers
   - 29% (1831 votes)

2. Cost sanctions against parties for failing to try non-adjudicative processes (e.g. mediation or conciliation) before litigation/arbitration.
   - 36% (2354 votes)

3. Legislation or conventions that promote recognition and enforcement of settlements, including those reached in mediation
   - 51% (3322 votes)

4. Quality control and complaint mechanisms applicable to dispute resolution providers
   - 28% (1849 votes)

5. Use of protocols promoting non-adjudicative processes before adjudicative processes (e.g. opt-out)
   - 47% (3033 votes)

6. Rules governing third party funding
   - 5% (321 votes)

Other
   - 3% (208 votes)

All numbers have been rounded up to the closest integers.

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Session 3 Question 3: Cross-Sorted Results (2159 voters)

<table>
<thead>
<tr>
<th>Party (316)</th>
<th>Advisor (549)</th>
<th>Adjudicative Provider (294)</th>
<th>Non Adjudicative (685)</th>
<th>Influencer (315)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Legislation or conventions</td>
<td>51%</td>
<td>Legislation or conventions</td>
<td>51%</td>
<td>Legislation or conventions</td>
</tr>
<tr>
<td>Use of protocols</td>
<td>43%</td>
<td>Use of protocols</td>
<td>43%</td>
<td>Use of protocols</td>
</tr>
<tr>
<td>Cost sanctions against parties</td>
<td>35%</td>
<td>Cost sanctions against parties</td>
<td>41%</td>
<td>Cost sanctions against parties</td>
</tr>
<tr>
<td>Accreditation or certification systems</td>
<td>31%</td>
<td>Quality control</td>
<td>31%</td>
<td>Accreditation or certification systems</td>
</tr>
<tr>
<td>Quality control</td>
<td>31%</td>
<td>Accreditation or certification systems</td>
<td>24%</td>
<td>Quality control</td>
</tr>
<tr>
<td>Rules governing third...</td>
<td>5%</td>
<td>Rules governing third...</td>
<td>7%</td>
<td>Rules governing third...</td>
</tr>
<tr>
<td>Other</td>
<td>3%</td>
<td>Other</td>
<td>3%</td>
<td>Other</td>
</tr>
</tbody>
</table>

All numbers have been rounded up to the closest integers.
Session 3 Question 4: Global Results

Which stakeholders are likely to be most resistant to change in commercial dispute resolution practice?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point)

(12078 points; 2151 voters; total possible points per answer = 3 x 2151 = 6453)

1. Adjudicative Providers: judges and arbitrators or their organisations (2485) 39%
2. External lawyers (4323) 67%
3. Governments/ministries of justice (1519) 26%
4. In-house lawyers (1666) 25%
5. Non-Adjudicative Providers: mediators and conciliators or their organisations (459) 7%
6. Parties (non-legal personnel) (1626) 24%
Other (84) 1%

All numbers have been rounded up to the closest integers.
### Session 3 Question 4: Cross-Sorted Results (2151 voters)

<table>
<thead>
<tr>
<th>Party</th>
<th>Advisor</th>
<th>Adjudicative Provider</th>
<th>Non Adjudicative</th>
<th>Influencer</th>
</tr>
</thead>
<tbody>
<tr>
<td>(313)</td>
<td>(546)</td>
<td>(288)</td>
<td>(689)</td>
<td>(315)</td>
</tr>
<tr>
<td>External lawyers</td>
<td>External lawyers</td>
<td>External lawyers</td>
<td>External lawyers</td>
<td>External lawyers</td>
</tr>
<tr>
<td>68%</td>
<td>62%</td>
<td>71%</td>
<td>75%</td>
<td>72%</td>
</tr>
<tr>
<td>Adjudicative Providers</td>
<td>Adjudicative Providers</td>
<td>Governments/ministries of justice</td>
<td>Adjudicative Providers</td>
<td>Adjudicative Providers</td>
</tr>
<tr>
<td>42%</td>
<td>42%</td>
<td>31%</td>
<td>43%</td>
<td>40%</td>
</tr>
<tr>
<td>Governments/ministries of justice</td>
<td>Governments/ministries of justice</td>
<td>Governments/ministries of justice</td>
<td>Governments/ministries of justice</td>
<td>Governments/ministries of justice</td>
</tr>
<tr>
<td>31%</td>
<td>31%</td>
<td>30%</td>
<td>30%</td>
<td>26%</td>
</tr>
<tr>
<td>Parties</td>
<td>Parties</td>
<td>In-house lawyers</td>
<td>In-house lawyers</td>
<td>In-house lawyers</td>
</tr>
<tr>
<td>25%</td>
<td>29%</td>
<td>29%</td>
<td>25%</td>
<td>26%</td>
</tr>
<tr>
<td>In-house lawyers</td>
<td>In-house lawyers</td>
<td>Parties</td>
<td>Parties</td>
<td>Parties</td>
</tr>
<tr>
<td>21%</td>
<td>25%</td>
<td>28%</td>
<td>19%</td>
<td>23%</td>
</tr>
<tr>
<td>Non Adjudicative Providers</td>
<td>Non Adjudicative Providers</td>
<td>Non Adjudicative Providers</td>
<td>Non Adjudicative Providers</td>
<td>Non Adjudicative Providers</td>
</tr>
<tr>
<td>11%</td>
<td>8%</td>
<td>9%</td>
<td>5%</td>
<td>9%</td>
</tr>
<tr>
<td>Other</td>
<td>Other</td>
<td>Other</td>
<td>Other</td>
<td>Other</td>
</tr>
<tr>
<td>1%</td>
<td>1%</td>
<td>1%</td>
<td>1%</td>
<td>2%</td>
</tr>
</tbody>
</table>

*All numbers have been rounded up to the closest integers.*
Session 3 Question 5: Global Results

Which stakeholders have the potential to be most influential in bringing about change in commercial dispute resolution practice?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’ = 3 points, ‘2nd choice’ = 2 points, ‘3rd choice’ = 1 point)

(12356 points; 2157 voters; total possible points per answer = 3 x 2157 = 6471)

1. Adjudicative Providers: judges and arbitrators or their organisations
   - 40% (2606 votes)

2. External lawyers
   - 36% (2346 votes)

3. Governments/ministries of justice
   - 41% (2663 votes)

4. In-house lawyers
   - 32% (2551 votes)

5. Non-Adjudicative Providers: mediators and conciliators or their organisations
   - 20% (1297 votes)

6. Parties (non-legal personnel)
   - 22% (1393 votes)

Other
- 1% (68 votes)

All numbers have been rounded up to the closest integers.
### Session 3 Question 5: Cross-Sorted Results (2157 voters)

#### Advisor (546)

<table>
<thead>
<tr>
<th>Party</th>
<th>In-house lawyers</th>
<th>42%</th>
<th>External lawyers</th>
<th>50%</th>
<th>Adjudicative Providers</th>
<th>49%</th>
<th>Governments/minis tries of justice</th>
<th>43%</th>
<th>Influence</th>
<th>44%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Governments/minis tries of justice</td>
<td>40%</td>
<td></td>
<td>Adjudicative Providers</td>
<td>41%</td>
<td>Governments/minis tries of justice</td>
<td>45%</td>
<td>Adjudicative Providers</td>
<td>42%</td>
<td>Influence</td>
<td>41%</td>
</tr>
<tr>
<td>Adjudicative Providers</td>
<td>36%</td>
<td></td>
<td>Governments/minis tries of justice</td>
<td>39%</td>
<td>External lawyers</td>
<td>37%</td>
<td>External lawyers</td>
<td>37%</td>
<td>Influence</td>
<td>35%</td>
</tr>
<tr>
<td>External lawyers</td>
<td>34%</td>
<td></td>
<td>In-house lawyers</td>
<td>32%</td>
<td>In-house lawyers</td>
<td>34%</td>
<td>In-house lawyers</td>
<td>31%</td>
<td>Influence</td>
<td>29%</td>
</tr>
<tr>
<td>Parties</td>
<td>27%</td>
<td></td>
<td>Parties</td>
<td>21%</td>
<td>Parties</td>
<td>19%</td>
<td>Non Adjudicative Providers</td>
<td>25%</td>
<td>Influence</td>
<td>26%</td>
</tr>
<tr>
<td>Non Adjudicative Providers</td>
<td>20%</td>
<td></td>
<td>Non Adjudicative Providers</td>
<td>16%</td>
<td>Non Adjudicative Providers</td>
<td>15%</td>
<td>Parties</td>
<td>20%</td>
<td>Influence</td>
<td>21%</td>
</tr>
<tr>
<td>Other</td>
<td>0%</td>
<td></td>
<td>Other</td>
<td>1%</td>
<td>Other</td>
<td>1%</td>
<td>Other</td>
<td>1%</td>
<td>Influence</td>
<td>1%</td>
</tr>
</tbody>
</table>

#### In-house lawyers (314)

<table>
<thead>
<tr>
<th>Government/minis tries of justice</th>
<th>42%</th>
<th>External lawyers</th>
<th>34%</th>
<th>Adjudicative Providers</th>
<th>27%</th>
<th>Governments/minis tries of justice</th>
<th>20%</th>
<th>Influence</th>
<th>21%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adjudicative Providers</td>
<td>40%</td>
<td>External lawyers</td>
<td>32%</td>
<td>In-house lawyers</td>
<td>16%</td>
<td>In-house lawyers</td>
<td>15%</td>
<td>Parties</td>
<td>19%</td>
</tr>
<tr>
<td>External lawyers</td>
<td>36%</td>
<td>In-house lawyers</td>
<td>14%</td>
<td>Non Adjudicative Providers</td>
<td>13%</td>
<td>Non Adjudicative Providers</td>
<td>12%</td>
<td>Parties</td>
<td>12%</td>
</tr>
<tr>
<td>Parties</td>
<td>34%</td>
<td>Non Adjudicative Providers</td>
<td>11%</td>
<td>Non Adjudicative Providers</td>
<td>10%</td>
<td>Non Adjudicative Providers</td>
<td>9%</td>
<td>Parties</td>
<td>9%</td>
</tr>
<tr>
<td>Non Adjudicative Providers</td>
<td>20%</td>
<td>Other</td>
<td>8%</td>
<td>Other</td>
<td>6%</td>
<td>Other</td>
<td>5%</td>
<td>Other</td>
<td>4%</td>
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<td>Other</td>
<td>3%</td>
<td>Other</td>
<td>2%</td>
<td>Other</td>
<td>2%</td>
<td>Other</td>
<td>1%</td>
</tr>
</tbody>
</table>

All numbers have been rounded up to the closest integers.
### Session 4 – Demographic Results

Which category of stakeholder will you vote as today?  
(If your regular practice involves several of these options, please select the one in which you have primarily been involved).  
(2004 voters)

| Category                                                        | Percentage | Votes |
|                                                                |            |       |
| Party (user of dispute resolution services): A person or in-house counsel involved in commercial disputes | 14%        | 288   |
| Advisor: An external lawyer or consultant to a party            | 25%        | 497   |
| Adjudicative Provider: A judge, arbitrator, or organisation providing their services | 13%        | 269   |
| Non-Adjudicative Provider: A conciliator, mediator or organisation providing such services | 32%        | 637   |
| Influencer: A researcher, educator, employee/representative of government, or any other person not in categories 1-4 above | 16%        | 313   |

*All numbers have been rounded up to the closest integers.*
Session 4 Question 1: Global Results

Who has the greatest responsibility for taking action to promote better access to justice in commercial dispute resolution?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point).

(11832 points; 1990 voters; total possible points per answer = 3 x 1990 = 5970)

<table>
<thead>
<tr>
<th>Choice</th>
<th>Points</th>
<th>Votes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Adjudicative Providers: judges and arbitrators or their organisations</td>
<td>49%</td>
<td>2899</td>
</tr>
<tr>
<td>2. External lawyers</td>
<td>34%</td>
<td>2035</td>
</tr>
<tr>
<td>3. Governments/ministries of justice</td>
<td>66%</td>
<td>3931</td>
</tr>
<tr>
<td>4. In-house lawyers</td>
<td>19%</td>
<td>1135</td>
</tr>
<tr>
<td>5. Non-Adjudicative Providers: mediators and conciliators or their organisations</td>
<td>18%</td>
<td>1103</td>
</tr>
<tr>
<td>6. Parties (non-legal personnel)</td>
<td>12%</td>
<td>729</td>
</tr>
<tr>
<td>Other</td>
<td>1%</td>
<td>71</td>
</tr>
</tbody>
</table>

All numbers have been rounded up to the closest integers.
### Session 4 Question 1: Cross-Sorted Results (1990 voters)

<table>
<thead>
<tr>
<th>Party</th>
<th>(288)</th>
<th>Advisor (497)</th>
<th>Adjudicative Provider (258)</th>
<th>Non Adjudicative (634)</th>
<th>Influencer (313)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Governments/minis tries of justice</td>
<td>62%</td>
<td>Governments/minis tries of justice</td>
<td>67%</td>
<td>Governments/minis tries of justice</td>
<td>Governments/minis tries of justice</td>
</tr>
<tr>
<td>Adjudicative Providers</td>
<td>46%</td>
<td>Adjudicative Providers</td>
<td>49%</td>
<td>Adjudicative Providers</td>
<td>Adjudicative Providers</td>
</tr>
<tr>
<td>External lawyers</td>
<td>32%</td>
<td>External lawyers</td>
<td>42%</td>
<td>External lawyers</td>
<td>External lawyers</td>
</tr>
<tr>
<td>In-house lawyers</td>
<td>24%</td>
<td>In-house lawyers</td>
<td>17%</td>
<td>Non Adjudicative Providers</td>
<td>Non Adjudicative Providers</td>
</tr>
<tr>
<td>Non Adjudicative Providers</td>
<td>16%</td>
<td>Non Adjudicative Providers</td>
<td>15%</td>
<td>In-house lawyers</td>
<td>In-house lawyers</td>
</tr>
<tr>
<td>Parties</td>
<td>17%</td>
<td>Parties</td>
<td>9%</td>
<td>Parties</td>
<td>Parties</td>
</tr>
<tr>
<td>Other</td>
<td>1%</td>
<td>Other</td>
<td>1%</td>
<td>Other</td>
<td>Other</td>
</tr>
</tbody>
</table>

All numbers have been rounded up to the closest integers.

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**Session 4 Question 2: Global Results**

What is the most effective way to improve parties' understanding of their options resolving commercial disputes?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’ = 3 points, ‘2nd choice’ = 2 points, ‘3rd choice’ = 1 point)

(11969 points; 2002 voters; 2002 voters; total possible points per answer = 3 x 2002 = 6006)

<table>
<thead>
<tr>
<th>Answer</th>
<th>Points</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Creating collaborative dispute resolution centres or hubs to promote awareness before initiating litigation or arbitration</td>
<td>1659</td>
<td>34%</td>
</tr>
<tr>
<td>2. Education in business and/or law schools and the broader business community about adjudicative and non-adjudicative dispute resolution options</td>
<td>3869</td>
<td>64%</td>
</tr>
<tr>
<td>3. Procedural requirements for all legal personnel and parties to declare they have considered non-adjudicative dispute resolution options before initiating arbitration or litigation</td>
<td>2210</td>
<td>37%</td>
</tr>
<tr>
<td>5. Requiring parties to attempt non-adjudicative options (i.e., mediation or conciliation) before initiating litigation or arbitration</td>
<td>2065</td>
<td>34%</td>
</tr>
<tr>
<td>4. Providing access to experts to guide parties in selecting the most appropriate dispute resolution process(es)</td>
<td>1659</td>
<td>28%</td>
</tr>
<tr>
<td>Other</td>
<td>116</td>
<td>2%</td>
</tr>
</tbody>
</table>

*All numbers have been rounded up to the closest integers.*
### Session 4 Question 2: Cross-Sorted Results (202 voters)

<table>
<thead>
<tr>
<th>Party</th>
<th>Advisor (496)</th>
<th>Adjudicative Provider (269)</th>
<th>Non Adjudicative (637)</th>
<th>Influencer (312)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>65%</td>
<td>67%</td>
<td>66%</td>
<td>63%</td>
</tr>
<tr>
<td>Education in business</td>
<td>Education in business</td>
<td>Education in business</td>
<td>Education in business</td>
<td>Education in business</td>
</tr>
<tr>
<td>Creating collaborative dispute resolution</td>
<td>37%</td>
<td>39%</td>
<td>38%</td>
<td>Creating collaborative dispute resolution</td>
</tr>
<tr>
<td>Procedural requirements</td>
<td>33%</td>
<td>34%</td>
<td>33%</td>
<td>Procedural requirements</td>
</tr>
<tr>
<td>Requiring parties to attempt...</td>
<td>33%</td>
<td>32%</td>
<td>33%</td>
<td>Procedural requirements</td>
</tr>
<tr>
<td>Providing access to experts</td>
<td>30%</td>
<td>25%</td>
<td>27%</td>
<td>Providing access to experts</td>
</tr>
<tr>
<td>Other</td>
<td>2%</td>
<td>2%</td>
<td>2%</td>
<td>Other</td>
</tr>
</tbody>
</table>

All numbers have been rounded up to the closest integers.

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Session 4 Question 3: Global Results

To promote better access to justice for those involved in commercial disputes, where should policy makers, governments and administrators focus their attention?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’ = 3 points, ‘2nd choice’ = 2 points, ‘3rd choice’ = 1 point)

(11795 points; 1972 voters; total possible points per answer = 3 x 1972 = 5916)

<table>
<thead>
<tr>
<th>1. Legislation or conventions promoting recognition and enforcement of settlements including those reached in mediation</th>
<th>43%</th>
</tr>
</thead>
<tbody>
<tr>
<td>2. Making non-adjudicative processes (mediation or conciliation) compulsory and/or a process parties can “opt-out” of before adjudicative processes can be initiated</td>
<td>46%</td>
</tr>
<tr>
<td>3. Pre-dispute or early stage case evaluation or assessment systems using third party advisors who will not be involved in subsequent proceedings</td>
<td>47%</td>
</tr>
<tr>
<td>4. Reducing pressures on the courts to make them more efficient and accessible</td>
<td>17%</td>
</tr>
<tr>
<td>5. Use of protocols promoting non-adjudicative processes (mediation or conciliation) before adjudicative processes</td>
<td>42%</td>
</tr>
</tbody>
</table>

Other (166) 3%

All numbers have been rounded up to the closest integers.
### Session 4 Question 3: Cross-Sorted Results (1972 voters)

<table>
<thead>
<tr>
<th>Party (283)</th>
<th>Advisor (490)</th>
<th>Adjudicative Provider (264)</th>
<th>Non Adjudicative (624)</th>
<th>Influencer (311)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pre-dispute or early stage</td>
<td>53%</td>
<td>47%</td>
<td>49%</td>
<td>47%</td>
</tr>
<tr>
<td>Legislation</td>
<td>45%</td>
<td>46%</td>
<td>46%</td>
<td>Pre-dispute or early stage</td>
</tr>
<tr>
<td>Making non adjudicative process</td>
<td>40%</td>
<td>43%</td>
<td>43%</td>
<td>Making non adjudicative process</td>
</tr>
<tr>
<td>Use of protocols</td>
<td>38%</td>
<td>38%</td>
<td>41%</td>
<td>Legislation</td>
</tr>
<tr>
<td>Reducing pressures</td>
<td>21%</td>
<td>23%</td>
<td>18%</td>
<td>Reducing pressures</td>
</tr>
<tr>
<td>Other</td>
<td>2%</td>
<td>3%</td>
<td>3%</td>
<td>Other</td>
</tr>
</tbody>
</table>

“All numbers have been rounded up to the closest integers.”

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Session 4 Question 4: Global Results

Which of the following will have the most significant impact on future policy-making in commercial dispute resolution?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point)

(11576 points; 1956 voters; total possible points per answer = 3 x 1956 = 5868)

1. Demand for certainty and enforceability of outcomes (3074) - 52%
2. Demand for increased efficiency of dispute resolution processes, including through technology (3760) - 64%
3. Demand for increased rights of appeal/oversight of adjudicative providers (1130) - 12%
4. Demand for increased transparency (1591) - 27%
5. Demand for increased uniformity and standardisation (1327) - 23%
6. Demand for processes that allow parties to represent themselves, without lawyers (1130) - 19%

Other (108) - 2%

All numbers have been rounded up to the closest integers.
Session 4 Question 4: Cross-Sorted Results (1956 voters)

<table>
<thead>
<tr>
<th>Party (284)</th>
<th>Advisor (486)</th>
<th>Adjudicative Provider (257)</th>
<th>Non Adjudicative (620)</th>
<th>Influencer (309)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Demand for efficiency</td>
<td>65%</td>
<td>66%</td>
<td>65%</td>
<td>64%</td>
</tr>
<tr>
<td>Demand for certainty</td>
<td>52%</td>
<td>55%</td>
<td>56%</td>
<td>51%</td>
</tr>
<tr>
<td>Demand for transparency</td>
<td>30%</td>
<td>28%</td>
<td>24%</td>
<td>26%</td>
</tr>
<tr>
<td>Demand for uniformity</td>
<td>22%</td>
<td>22%</td>
<td>23%</td>
<td>24%</td>
</tr>
<tr>
<td>Demand for processes that...</td>
<td>17%</td>
<td>14%</td>
<td>17%</td>
<td>23%</td>
</tr>
<tr>
<td>Demand for rights</td>
<td>13%</td>
<td>14%</td>
<td>11%</td>
<td>10%</td>
</tr>
<tr>
<td>Other</td>
<td>1%</td>
<td>2%</td>
<td>2%</td>
<td>2%</td>
</tr>
</tbody>
</table>

All numbers have been rounded up to the closest integers.
Session 4 Question 5: Global Results

What innovations/trends are going to have the most significant influence on the future of commercial dispute resolution?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’ = 3 points, ‘2nd choice’ = 2 points, ‘3rd choice’ = 1 point)

(11819 points; 1952 voters; total possible points per answer = 3 x 1952 = 5856)

<table>
<thead>
<tr>
<th>Rank</th>
<th>Innovation/ Trend</th>
<th>Votes</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Changes in corporate attitudes to conflict prevention</td>
<td>2959</td>
<td>51%</td>
</tr>
<tr>
<td>2</td>
<td>Enhanced understanding regarding how people behave and resolve conflict (e.g. from brain and social sciences)</td>
<td>1751</td>
<td>30%</td>
</tr>
<tr>
<td>3</td>
<td>Greater emphasis on collaborative instead of adversarial processes for resolving disputes</td>
<td>3361</td>
<td>57%</td>
</tr>
<tr>
<td>4</td>
<td>Greater emphasis on personal wellbeing and stress reduction of parties</td>
<td>806</td>
<td>14%</td>
</tr>
<tr>
<td>5</td>
<td>Harmonisation of international laws and standards for dispute resolution systems</td>
<td>1524</td>
<td>26%</td>
</tr>
<tr>
<td>6</td>
<td>Technological innovation (e.g. on-line dispute resolution)</td>
<td>1418</td>
<td>24%</td>
</tr>
</tbody>
</table>

Other (60) 1%

All numbers have been rounded up to the closest integers.
# Session 4 Question 5: Cross-Sorted Results (1952 voters)

<table>
<thead>
<tr>
<th>Party</th>
<th>Advisor</th>
<th>Adjudicative Provider</th>
<th>Non Adjudicative</th>
<th>Influencer</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>(284)</td>
<td>(483)</td>
<td>(260)</td>
<td>(616)</td>
</tr>
<tr>
<td>Greater emphasis on collaborative...</td>
<td>59%</td>
<td>Greater emphasis on collaborative...</td>
<td>53%</td>
<td>Greater emphasis on collaborative...</td>
</tr>
<tr>
<td>Changes in corporate attitudes</td>
<td>53%</td>
<td>Changes in corporate attitudes</td>
<td>50%</td>
<td>Changes in corporate attitudes</td>
</tr>
<tr>
<td>Harmonisation of international laws...</td>
<td>25%</td>
<td>Enhanced understanding</td>
<td>29%</td>
<td>Enhanced understanding</td>
</tr>
<tr>
<td>Enhanced understanding</td>
<td>25%</td>
<td>Harmonisation of international laws...</td>
<td>28%</td>
<td>Technological innovation</td>
</tr>
<tr>
<td>Technological innovation</td>
<td>24%</td>
<td>Technological innovation</td>
<td>28%</td>
<td>Harmonisation of international laws...</td>
</tr>
<tr>
<td>Greater emphasis on personal...</td>
<td>13%</td>
<td>Greater emphasis on personal...</td>
<td>11%</td>
<td>Greater emphasis on personal...</td>
</tr>
<tr>
<td>Other</td>
<td>1%</td>
<td>Other</td>
<td>1%</td>
<td>Other</td>
</tr>
</tbody>
</table>

All numbers have been rounded up to the closest integers.

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THANK YOU
ONLINE VOTES
(July 2017-August 2017)
Countries Online Votes World Cloud
Delegate Information – Online Voting

In what country are you based?

(680/732 voters)

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Demographic Results - Which is your category of stakeholder?

(If your regular practice involves several of these options, please select the one in which you have primarily been involved).

(732 voters)

Party (user of dispute resolution services): A business person or in-house counsel involved in commercial disputes (122) 16.67%

Advisor: An external lawyer or consultant to a party (195) 26.64%

Adjudicative Provider: A judge, arbitrator, or organisation providing their services (84) 11.48%

Non-Adjudicative Provider: A conciliator, mediator or organisation providing such services (219) 29.92%

Influencer: A researcher, educator, employee/representative of government, or any other person not in categories 1-4 above (112) 15.30%
Session 1 Question 1 - Group Results
What outcomes do parties most often want before starting a process in commercial and/or civil dispute resolution?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point).

(3480 points: maximum no. of possible points per answer = 1740 points)

<table>
<thead>
<tr>
<th>Rank</th>
<th>Outcome Description</th>
<th>Points</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Action-focused (e.g. prevent action or require an action from one of the parties)</td>
<td>987</td>
<td>55.00%</td>
</tr>
<tr>
<td>2</td>
<td>Financial (e.g. damages, compensation, etc.)</td>
<td>1089</td>
<td>61.00%</td>
</tr>
<tr>
<td>3</td>
<td>Judicial (e.g. setting a legal precedent)</td>
<td>316</td>
<td>18.00%</td>
</tr>
<tr>
<td>4</td>
<td>Psychological (e.g., vindication, closure, being heard, procedural fairness)</td>
<td>564</td>
<td>32.00%</td>
</tr>
<tr>
<td>5</td>
<td>Relationship-focused (e.g. terminate or preserve a relationship)</td>
<td>503</td>
<td>28.00%</td>
</tr>
<tr>
<td></td>
<td>Other</td>
<td>21</td>
<td>1.00%</td>
</tr>
</tbody>
</table>
### Session 1 Question 1 - Cross sorted Results

<table>
<thead>
<tr>
<th>AVG Rank</th>
<th>Party (user of dispute)</th>
<th>Advisor: An external lawyer</th>
<th>Adjudicative Provider: A judge</th>
<th>Non-Adjudicative Provider: A researcher</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2. Financial (e.g. damages, compensation, ...) 62%</td>
<td>2. Financial (e.g. damages, compensation, ...) 64%</td>
<td>2. Financial (e.g. damages, compensation, ...) 67%</td>
<td>2. Financial (e.g. damages, compensation, ...) 61%</td>
</tr>
<tr>
<td>2</td>
<td>1. Action-focused (e.g. prevent action, ...) 61%</td>
<td>1. Action-focused (e.g. prevent action, ...) 60%</td>
<td>1. Action-focused (e.g. prevent action, ...) 54%</td>
<td>1. Action-focused (e.g. prevent action, ...) 55%</td>
</tr>
<tr>
<td>3</td>
<td>5. Relationship-focused (e.g. terminate or ... 33%</td>
<td>3. Judicial (e.g. setting a... 26%</td>
<td>4. Psychological (e.g., vindication, closure, ...) 28%</td>
<td>4. Psychological (e.g., vindication, closure, ...) 45%</td>
</tr>
<tr>
<td></td>
<td>5. Relationship-focused (e.g. terminate or ... 28%</td>
<td>5. Relationship-focused (e.g. terminate or ... 28%</td>
<td>5. Relationship-focused (e.g. terminate or ... 28%</td>
<td>5. Relationship-focused (e.g. terminate or ... 40%</td>
</tr>
<tr>
<td>4</td>
<td>3. Judicial (e.g. setting a... 24%</td>
<td>5. Relationship-focused (e.g. terminate or ... 25%</td>
<td>3. Judicial (e.g. setting a... 22%</td>
<td>5. Relationship-focused (e.g. terminate or ... 26%</td>
</tr>
<tr>
<td>5</td>
<td>4. Psychological (e.g., vindication, closure, ...) 19%</td>
<td>4. Psychological (e.g., vindication, closure, ...) 24%</td>
<td>Other 1%</td>
<td>3. Judicial (e.g. setting a... 8%</td>
</tr>
<tr>
<td>6</td>
<td>Other 2%</td>
<td>Other 1%</td>
<td>Other 1%</td>
<td>Other 1%</td>
</tr>
</tbody>
</table>
Session 1 Question 2 - Group Results
When parties are choosing which type(s) of dispute resolution process(es) to use, which of the following has the most influence?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point).
(3372 points: maximum no. of possible points per answer = 1686 points)

1. Advice (e.g. from lawyer or other advisor) (961) 55.00%
2. Confidentiality expectations (475) 27.00%
3. Efficiency (e.g. time/cost to achieve outcome) (902) 52.00%
4. Industry practices (219) 13.00%
5. Predictability of outcome (406) 23.00%
6. Relationships (e.g. preventing conflict escalation) (396) 23.00%
Other (13) 1.00%
### Session 1 Question 2 - Cross sorted Results

<table>
<thead>
<tr>
<th>AVG Rank</th>
<th>Party (user of dispute...)</th>
<th>Advisor: An external lawyer...</th>
<th>Adjudicative Provider: A judge,...</th>
<th>Non-Adjudicative Provider: A conciliator,...</th>
<th>Influencer: A researcher, educator,...</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>3. Efficiency (e.g. time/cost to... 55%</td>
<td>1. Advice (e.g. from lawyer... 66%</td>
<td>3. Efficiency (e.g. time/cost to... 60%</td>
<td>1. Advice (e.g. from lawyer... 55%</td>
<td>1. Advice (e.g. from lawyer... 55%</td>
</tr>
<tr>
<td>2</td>
<td>1. Advice (e.g. from lawyer... 50%</td>
<td>3. Efficiency (e.g. time/cost to... 51%</td>
<td>1. Advice (e.g. from lawyer... 55%</td>
<td>3. Efficiency (e.g. time/cost to... 54%</td>
<td>3. Efficiency (e.g. time/cost to... 51%</td>
</tr>
<tr>
<td>3</td>
<td>6. Relationships (e.g. preventing conflict... 29%</td>
<td>2. Confidentiality expectations 33%</td>
<td>6. Relationships (e.g. preventing conflict... 24%</td>
<td>2. Confidentiality expectations 29%</td>
<td>6. Relationships (e.g. preventing conflict... 26%</td>
</tr>
<tr>
<td>4</td>
<td>2. Confidentiality expectations 28%</td>
<td>5. Predictability of outcome 21%</td>
<td>5. Predictability of outcome 22%</td>
<td>6. Relationships (e.g. preventing conflict... 26%</td>
<td>5. Predictability of outcome 25%</td>
</tr>
<tr>
<td>5</td>
<td>5. Predictability of outcome 27%</td>
<td>6. Relationships (e.g. preventing conflict... 15%</td>
<td>2. Confidentiality expectations 21%</td>
<td>5. Predictability of outcome 25%</td>
<td>4. Industry practices 17%</td>
</tr>
<tr>
<td>7</td>
<td>Other 1%</td>
<td>Other 2%</td>
<td>Other 1%</td>
<td>Other 1%</td>
<td></td>
</tr>
</tbody>
</table>
Session 1 Question 3 - Group Results

When lawyers (whether in-house or external) make recommendations to parties about procedural options for dispute resolution, which of the following has the most influence?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point).

(3306 points: maximum no. of possible points per answer = 1653 points)

1. Familiarity with a particular type of dispute resolution process (1003) 59.00%

5. The type of outcome requested by the party (e.g. money, an injunction, etc.) (729) 43.00%

3. Impact on costs/fees the lawyer can charge (682) 40.00%

4. The party’s relationships with the other party(ies) or stakeholders (502) 30.00%

2. Industry practices (357) 21.00%

Other (33) 2.00%
### Session 1 Question 3 - Cross sorted Results

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1. Familiarity with a particular... 59%</td>
<td>1. Familiarity with a particular... 57%</td>
<td>1. Familiarity with a particular... 64%</td>
<td>1. Familiarity with a particular... 62%</td>
<td>1. Familiarity with a particular... 65%</td>
</tr>
<tr>
<td>2</td>
<td>3. Impact on costs/fees 44%</td>
<td>5. The type of outcome 48%</td>
<td>5. The type of outcome 44%</td>
<td>5. The type of outcome 47%</td>
<td>3. Impact on costs/fees 46%</td>
</tr>
<tr>
<td>3</td>
<td>4. The party's relationships with... 39%</td>
<td>3. Impact on costs/fees the... 38%</td>
<td>3. Impact on costs/fees the... 36%</td>
<td>3. Impact on costs/fees the... 42%</td>
<td>5. The type of outcome... 39%</td>
</tr>
<tr>
<td>4</td>
<td>5. The type of outcome... 38%</td>
<td>4. Industry practices with... 29%</td>
<td>2. Industry practices 29%</td>
<td>4. The party's relationships with... 29%</td>
<td>4. The party's relationships with... 30%</td>
</tr>
<tr>
<td>5</td>
<td>2. Industry practices 19%</td>
<td>2. Industry practices 26%</td>
<td>4. The party's relationships 26%</td>
<td>2. Industry practices 17%</td>
<td>2. Industry practices 20%</td>
</tr>
<tr>
<td>6</td>
<td>Other 1%</td>
<td>Other 2%</td>
<td>Other 2%</td>
<td>Other 3%</td>
<td>Other 1%</td>
</tr>
</tbody>
</table>
Session 1 Question 4 - Group Results
What role do parties want providers to take in dispute resolution processes?
(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point).
(3288 points: maximum no. of possible points per answer = 1644 points)

5. The parties initially do not have a preference but seek guidance from the providers regarding optimal ways of resolving their dispute (973) 58.00%

2. The providers decide on the process and the parties decide how the dispute is resolved (740) 44.00%

1. The parties decide how the process is conducted and how the dispute is resolved (the providers just assist) (581) 35.00%

4. The providers decide on the process and how the dispute is resolved (478) 28.00%

3. The parties decide on the process and the providers decide how the dispute is resolved (467) 28.00%

Other (49) 3.00%
## Session 1 Question 4 - Cross sorted Results

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>5. The parties initially do... 52%</td>
<td>5. The parties initially do... 53%</td>
<td>5. The parties initially do... 59%</td>
<td>5. The parties initially do... 68%</td>
<td>5. The parties initially do... 60%</td>
</tr>
<tr>
<td>2</td>
<td>3. The parties decide on... 42%</td>
<td>1. The parties decide how... 39%</td>
<td>2. The providers decide on... 42%</td>
<td>2. The providers decide on... 57%</td>
<td>2. The providers decide on... 41%</td>
</tr>
<tr>
<td>3</td>
<td>2. The providers decide on... 40%</td>
<td>2. The providers decide on... 38%</td>
<td>3. The parties decide on... 35%</td>
<td>1. The parties decide how... 34%</td>
<td>1. The parties decide how... 38%</td>
</tr>
<tr>
<td>4</td>
<td>1. The parties decide how... 37%</td>
<td>4. The providers decide on... 37%</td>
<td>4. The providers decide on... 33%</td>
<td>4. The providers decide on... 21%</td>
<td>4. The providers decide on... 29%</td>
</tr>
<tr>
<td>5</td>
<td>4. The providers decide on... 28%</td>
<td>3. The parties decide on... 31%</td>
<td>1. The parties decide how... 24%</td>
<td>3. The parties decide on... 16%</td>
<td>3. The parties decide on... 28%</td>
</tr>
<tr>
<td>6</td>
<td>Other 1%</td>
<td>Other 1%</td>
<td>Other 7%</td>
<td>Other 4%</td>
<td>Other 3%</td>
</tr>
</tbody>
</table>
### Session 1 Question 5 - Group Results

What role do parties typically want **lawyers** (i.e., in-house or external counsel) to take in dispute resolution processes?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point).

(3192 points: maximum no. of possible points per answer = 1596 points)

<table>
<thead>
<tr>
<th>Rank</th>
<th>Answer</th>
<th>Points</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>5</td>
<td>Speaking for parties and/or advocating on a party's behalf</td>
<td>803</td>
<td>49.00%</td>
</tr>
<tr>
<td>4</td>
<td>Working collaboratively with parties to navigate the process. May request actions on behalf of a party</td>
<td>786</td>
<td>48.00%</td>
</tr>
<tr>
<td>3</td>
<td>Participating in the process by offering expert opinions, not acting on behalf of parties</td>
<td>573</td>
<td>35.00%</td>
</tr>
<tr>
<td>2</td>
<td>Acting as advisors and accompanying parties but not interacting with other parties or providers</td>
<td>538</td>
<td>33.00%</td>
</tr>
<tr>
<td>1</td>
<td>Acting as coaches, providing advice but not attending</td>
<td>297</td>
<td>18.00%</td>
</tr>
<tr>
<td>6</td>
<td>Parties do not normally want lawyers to be involved</td>
<td>151</td>
<td>9.00%</td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td>44</td>
<td>3.00%</td>
</tr>
<tr>
<td>AVG Rank</td>
<td>Party (user of dispute)</td>
<td>Advisor: An external lawyer...</td>
<td>Adjudicative Provider: A judge,...</td>
</tr>
<tr>
<td>----------</td>
<td>------------------------</td>
<td>-------------------------------</td>
<td>---------------------------------</td>
</tr>
<tr>
<td>1</td>
<td>4. Working collaboratively with parties... 44%</td>
<td>5. Speaking for parties and/or... 53%</td>
<td>5. Speaking for parties and/or... 68%</td>
</tr>
<tr>
<td>2</td>
<td>3. Participating in the process... 43%</td>
<td>4. Working collaboratively with parties... 48%</td>
<td>4. Working collaboratively with parties... 55%</td>
</tr>
<tr>
<td>3</td>
<td>2. Acting as advisors and... 38%</td>
<td>2. Acting as advisors and... 40%</td>
<td>3. Participating in the process... 25%</td>
</tr>
<tr>
<td>4</td>
<td>5. Speaking for parties and/or... 36%</td>
<td>3. Participating in the process... 36%</td>
<td>2. Acting as advisors and... 17%</td>
</tr>
<tr>
<td>5</td>
<td>1. Acting as coaches, providing... 28%</td>
<td>1. Acting as coaches, providing... 16%</td>
<td>1. Acting as coaches, providing... 13%</td>
</tr>
<tr>
<td>6</td>
<td>6. Parties do not normally... 10%</td>
<td>6. Parties do not normally... 5%</td>
<td>Other 10%</td>
</tr>
<tr>
<td>7</td>
<td>Other 1%</td>
<td>Other 1%</td>
<td>Other 1%</td>
</tr>
</tbody>
</table>

Session 1 Question 5 - Cross sorted Results
Session 2 Question 1 - Group Results
What outcomes do providers tend to prioritise?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’ = 3 points, ‘2nd choice’ = 2 points, ‘3rd choice’ = 1 point).

(3042 points: maximum no. of possible points per answer = 1521 points)

1. Action-focused (e.g. prevent action or require an action from one of the parties) (937) 60.00%
2. Financial (e.g. damages, compensation, etc.) (874) 56.00%
3. Judicial (e.g. setting a legal precedent) (348) 22.00%
4. Psychological (e.g., vindication, closure, being heard, procedural fairness) (393) 25.00%
5. Relationship-focused (e.g. terminate or preserve a relationship) (461) 29.00%

Other (29) 2.00%
### Session 2 Question 1 - Cross sorted Results

<table>
<thead>
<tr>
<th>AVG Rank</th>
<th>Party (user of dispute...)</th>
<th>Advisor: An external lawyer...</th>
<th>Adjudicative Provider: A judge,...</th>
<th>Non-Adjudicative Provider: A conciliator,...</th>
<th>Influencer: A researcher, educator,...</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1. Action-focused (e.g., prevent action...) 63%</td>
<td>1. Action-focused (e.g., prevent action...) 65%</td>
<td>1. Action-focused (e.g., prevent action...) 68%</td>
<td>1. Action-focused (e.g., prevent action...) 55%</td>
<td>1. Action-focused (e.g., prevent action...) 64%</td>
</tr>
<tr>
<td>2</td>
<td>2. Financial (e.g., damages, compensation,... 59%</td>
<td>2. Financial (e.g., damages, compensation,... 60%</td>
<td>2. Financial (e.g., damages, compensation,... 62%</td>
<td>2. Financial (e.g., damages, compensation,... 50%</td>
<td>2. Financial (e.g., damages, compensation,... 62%</td>
</tr>
<tr>
<td>3</td>
<td>5. Relationship-focused (e.g., terminate or... 33%</td>
<td>3. Judicial (e.g., setting a... 28%</td>
<td>4. Psychological (e.g., vindication, closure,... 25%</td>
<td>5. Relationship-focused (e.g., terminate or... 43%</td>
<td>4. Psychological (e.g., vindication, closure,... 29%</td>
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<tr>
<td>4</td>
<td>3. Judicial (e.g., setting a... 31%</td>
<td>5. Relationship-focused (e.g., terminate or... 24%</td>
<td>5. Relationship-focused (e.g., terminate or... 24%</td>
<td>4. Psychological (e.g., vindication, closure,... 35%</td>
<td>3. Judicial (e.g., setting a... 28%</td>
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<tr>
<td>5</td>
<td>4. Psychological (e.g., vindication, closure,... 14%</td>
<td>4. Psychological (e.g., vindication, closure,... 19%</td>
<td>3. Judicial (e.g., setting a... 19%</td>
<td>3. Judicial (e.g., setting a... 14%</td>
<td>5. Relationship-focused (e.g., terminate or... 17%</td>
</tr>
<tr>
<td>6</td>
<td>Other 3%</td>
<td>Other 1%</td>
<td>Other 3%</td>
<td>Other 3%</td>
<td>Other 3%</td>
</tr>
</tbody>
</table>
Session 2 Question 2 - Group Results

In my own experience, the **outcome** of a commercial and/or civil dispute is **determined** primarily by:

(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point).

(3048 points: maximum no. of possible points per answer = 1524 points)

1. Consensus: the parties’ subjective interests (879) 56.00%
2. Culture: based cultural and/or religious norms (319) 20.00%
3. Equity: general principles of fairness (748) 48.00%
4. Rule of Law: findings of fact and law or other norms (817) 52.00%
5. Status: deferring to authority/hierarchies (239) 15.00%

Other (46) 3.00%
### Session 2 Question 2 - Cross sorted Results

<table>
<thead>
<tr>
<th>AVG Rank</th>
<th>Party (user of dispute)</th>
<th>Advisor: An external lawyer...</th>
<th>Adjudicative Provider: A judge...</th>
<th>Non-Adjudicative Provider</th>
<th>Influencer: A Provider</th>
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</thead>
<tbody>
<tr>
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<td>4. Rule of Law: findings... 56%</td>
<td>4. Rule of Law: findings... 58%</td>
<td>4. Rule of Law: findings... 73%</td>
<td>1. Consensus: the parties’ subjective... 69%</td>
<td>4. Rule of Law: findings... 56%</td>
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<td>3. Equity: general principles of... 56%</td>
<td>1. Consensus: the parties’ subjective... 48%</td>
<td>3. Equity: general principles of... 45%</td>
<td>3. Equity: general principles of... 50%</td>
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<td>3. Equity: general principles of... 47%</td>
<td>1. Consensus: the parties’ subjective... 54%</td>
<td>2. Culture: based cultural and/or... 17%</td>
<td>4. Rule of Law: findings... 40%</td>
<td>1. Consensus: the parties’ subjective... 49%</td>
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<tr>
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<td>2. Culture: based cultural and/or... 18%</td>
<td>5. Status: deferring to authority/hierarchies 12%</td>
<td>2. Culture: based cultural and/or... 23%</td>
<td>2. Culture: based cultural and/or... 22%</td>
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<td>5. Status: deferring to authority/hierarchies 17%</td>
<td>5. Status: deferring to authority/hierarchies 12%</td>
<td>Other 2%</td>
<td>5. Status: deferring to authority/hierarchies 16%</td>
<td>Other 1%</td>
</tr>
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<td>6</td>
<td>Other 2%</td>
<td>Other 2%</td>
<td>Other 6%</td>
<td>Other 1%</td>
<td>Other 1%</td>
</tr>
</tbody>
</table>
### Session 2 Question 3

What is achieved by participating in a non-adjudicative process (mediation or conciliation) (whether voluntary or involuntary - e.g. court ordered)?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point).

(3036 points: maximum no. of possible points per answer = 1518 points)

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<th>Description</th>
<th>Points</th>
<th>Percentage</th>
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</thead>
<tbody>
<tr>
<td>1.</td>
<td>Better knowledge of the strengths/weaknesses of the case or likelihood of settlement</td>
<td>659</td>
<td>42.00%</td>
</tr>
<tr>
<td>2.</td>
<td>Compliance (e.g. avoiding cost sanctions, meeting contractual obligations)</td>
<td>331</td>
<td>21.00%</td>
</tr>
<tr>
<td>3.</td>
<td>Improving or restoring relationships</td>
<td>636</td>
<td>41.00%</td>
</tr>
<tr>
<td>4.</td>
<td>Reduced costs and expenses</td>
<td>673</td>
<td>43.00%</td>
</tr>
<tr>
<td>5.</td>
<td>Retaining control over the outcome</td>
<td>598</td>
<td>38.00%</td>
</tr>
<tr>
<td>6.</td>
<td>Tactical/strategic advantage (e.g. delay)</td>
<td>123</td>
<td>8.00%</td>
</tr>
<tr>
<td></td>
<td>Other</td>
<td>16</td>
<td>1.00%</td>
</tr>
<tr>
<td>AVG Rank</td>
<td>Party (user of dispute...)</td>
<td>Advisor: An external lawyer...</td>
<td>Adjudicative Provider: A judge,...</td>
</tr>
<tr>
<td>----------</td>
<td>---------------------------</td>
<td>-------------------------------</td>
<td>-----------------------------------</td>
</tr>
<tr>
<td>1</td>
<td>3. Improving or restoring relationships 49%</td>
<td>1. Better knowledge of the... 55%</td>
<td>4. Reduced costs and expenses 55%</td>
</tr>
<tr>
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<td>1. Better knowledge of the... 47%</td>
<td>3. Improving or restoring relationships 39%</td>
<td>1. Better knowledge of the... 45%</td>
</tr>
<tr>
<td>3</td>
<td>4. Reduced costs and expenses 43%</td>
<td>4. Reduced costs and expenses 38%</td>
<td>3. Improving or restoring relationships 38%</td>
</tr>
<tr>
<td>4</td>
<td>5. Retaining control over the... 25%</td>
<td>2. Compliance (e.g. avoiding cost...) 28%</td>
<td>5. Retaining control over the... 35%</td>
</tr>
<tr>
<td>5</td>
<td>6. Tactical/strategic advantage (e.g. delay) 10%</td>
<td>6. Tactical/strategic advantage (e.g. delay) 12%</td>
<td>2. Compliance (e.g. avoiding cost...) 17%</td>
</tr>
<tr>
<td>6</td>
<td>Other 1%</td>
<td>6. Tactical/strategic advantage (e.g. delay) 7%</td>
<td>6. Tactical/strategic advantage (e.g. delay) 3%</td>
</tr>
<tr>
<td>7</td>
<td>Other 3%</td>
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</tbody>
</table>
Session 2 Question 4 - Group Results
Who is primarily responsible for ensuring parties understand their process options, and the possible consequences of each process before deciding which one to use?
(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’= 1 point).
(2964 points: maximum no. of possible points per answer = 1482 points)

2. External lawyers (781) 51.00%
4. In-house lawyers (647) 42.00%
1. Adjudicative Providers: judges and arbitrators or their organisations (505) 33.00%
5. Non-Adjudicative Providers: mediators and conciliators or their organisations (505) 33.00%
6. Parties (non-legal personnel) (291) 19.00%
3. Governments/ministries of justice (218) 14.00%
Other (17) 1.00%
### Session 2 Question 4 - Cross sorted Results

<table>
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<tr>
<th>AVG Rank</th>
<th>Party (user of dispute)</th>
<th>Advisor: An external lawyer</th>
<th>Adjudicative Provider: A judge,...</th>
<th>Non-Adjudicative Provider:</th>
<th>Influencer: A researcher,</th>
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<td>51%</td>
<td>60%</td>
<td>63%</td>
<td>54%</td>
<td>50%</td>
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<tr>
<td>2</td>
<td>1. Adjudicative Providers: judges and...</td>
<td>4.In-house lawyers</td>
<td>4.In-house lawyers</td>
<td>1. Adjudicative Providers: judges and...</td>
<td>4.In-house lawyers</td>
</tr>
<tr>
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<td>45%</td>
<td>44%</td>
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<td>27%</td>
<td>36%</td>
<td>45%</td>
<td>33%</td>
<td>34%</td>
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<td>21%</td>
<td>26%</td>
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<td>1%</td>
<td>3%</td>
<td>3%</td>
<td>3%</td>
</tr>
</tbody>
</table>
Session 2 Question 5 - Group Results

Currently, the most effective dispute resolution processes usually involve which of the following?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’= 1 point).

(2898 points: maximum no. of possible points per answer = 1449 points)

1. Adjudicative dispute resolution methods (litigation or arbitration) (384) 26.00%

2. Combining adjudicative and non-adjudicative processes (e.g. arbitration/litigation with mediation/conciliation) (637) 43.00%

3. Encouragement by courts, tribunals or other providers to reduce time and/or costs (450) 30.00%

4. Non-adjudicative dispute resolution methods (mediation or conciliation) (646) 43.00%

5. Pre-dispute or pre-escalation processes to prevent disputes (575) 39.00%

6. Technology to enable faster, cheaper procedures, (e.g. Online Dispute Resolution, electronic administration, remote hearings) (200) 13.00%

Other (6) 0.00%
### Session 2 Question 5 - Cross sorted Results

<table>
<thead>
<tr>
<th>AVG Rank</th>
<th>Party (user of dispute...)</th>
<th>Advisor: An external lawyer...</th>
<th>Adjudicative Provider: A judge,...</th>
<th>Non-Adjudicative Provider:</th>
<th>Influencer:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>1. Combining adjudicative and non-adjudicative... 51%</td>
<td>2. Combining adjudicative and non-adjudicative... 45%</td>
<td>2. Combining adjudicative and non-adjudicative... 48%</td>
<td>4. Non-adjudicative dispute resolution methods...</td>
<td>2. Combining adjudicative and non-adjudicative... 46%</td>
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<tr>
<td>2</td>
<td>5. Pre-dispute or pre-escalation processes... 43%</td>
<td>1. Adjudicative dispute resolution methods... 40%</td>
<td>5. Pre-dispute or pre-escalation processes... 42%</td>
<td>5. Pre-dispute or pre-escalation processes... 44%</td>
<td>1. Adjudicative dispute resolution methods... 35%</td>
</tr>
<tr>
<td>3</td>
<td>4. Non-adjudicative dispute resolution 40%</td>
<td>3. Encouragement by courts, tribunals... 36%</td>
<td>4. Non-adjudicative dispute resolution 36%</td>
<td>2. Combining adjudicative and non-adjudicative... 37%</td>
<td>4. Non-adjudicative dispute resolution 34%</td>
</tr>
<tr>
<td>4</td>
<td>1. Encouragement by courts, tribunals... 29%</td>
<td>5. Pre-dispute or pre-escalation processes... 34%</td>
<td>3. Encouragement by courts, tribunals... 30%</td>
<td>3. Encouragement by courts, tribunals... 29%</td>
<td>3. Encouragement by courts, tribunals... 30%</td>
</tr>
<tr>
<td>5</td>
<td>1. Adjudicative dispute resolution methods... 25%</td>
<td>4. Non-adjudicative dispute resolution 30%</td>
<td>3. Encouragement by courts, tribunals... 26%</td>
<td>3. Encouragement by courts, tribunals... 29%</td>
<td>3. Encouragement by courts, tribunals... 30%</td>
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<td>6. Technology to enable faster,... 14%</td>
<td>6. Technology to enable faster,... 13%</td>
<td>1. Adjudicative dispute resolution methods... 11%</td>
<td>Other 1%</td>
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<tr>
<td>7</td>
<td>Other 1%</td>
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</table>
Session 3 Question 1- Group Results

What are the main obstacles or challenges parties face when seeking to resolve commercial and/or civil disputes?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point).

(2874 points: maximum no. of possible points per answer = 1437 points)

1. Emotional, social, or cultural constraints (602) 41.00%
2. Financial or time constraints (714) 48.00%
3. Inadequate range of options available to resolve disputes (328) 22.00%
4. Insufficient knowledge of options available to resolve disputes (750) 51.00%
5. Uncertainty (e.g. unpredictable behaviour or lack of confidence in providers) (443) 30.00%

Other (37) 3.00%
<table>
<thead>
<tr>
<th>AVG Rank</th>
<th>Party (user of dispute...)</th>
<th>Advisor: An external lawyer...</th>
<th>Adjudicative Provider: A judge,...</th>
<th>Non-Adjudicative Provider:</th>
<th>Influencer:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2. Financial or time constraints 55%</td>
<td>2. Financial or time constraints 55%</td>
<td>2. Financial or time constraints 55%</td>
<td>4. Insufficient knowledge of options... 55%</td>
<td>4. Insufficient knowledge of options... 55%</td>
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<tr>
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<td>1. Emotional, social, or cultural... 40%</td>
<td>1. Emotional, social, or cultural... 40%</td>
<td>4. Insufficient knowledge of options... 51%</td>
<td>1. Emotional, social, or cultural... 50%</td>
<td>2. Financial or time constraints 50%</td>
</tr>
<tr>
<td>3</td>
<td>5. Uncertainty (e.g. unpredictable behaviour... 33%</td>
<td>4. Insufficient knowledge of options... 45%</td>
<td>5. Uncertainty (e.g. unpredictable behaviour... 42%</td>
<td>2. Financial or time constraints 42%</td>
<td>1. Emotional, social, or cultural... 39%</td>
</tr>
<tr>
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<td>3. Inadequate range of options... 26%</td>
<td>3. Inadequate range of options... 26%</td>
<td>1. Emotional, social, or cultural... 30%</td>
<td>5. Uncertainty (e.g. unpredictable behaviour... 30%</td>
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<td>3. Inadequate range of options... 17%</td>
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<td>Other 4%</td>
<td>Other 4%</td>
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</table>

**Session 3 Question 1 - Cross sorted Results**
**Session 3 Question 2 - Group Results**

To improve the **future** of dispute resolution and access to justice, which of the following processes and tools should be prioritised?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point).

(2868 points: maximum no. of possible points per answer = 1434 points)

1. **Adjudicative dispute resolution methods (litigation or arbitration)** (225) 15.00%
2. **Combining adjudicative and non-adjudicative processes (e.g. arbitration/litigation with mediation/conciliation)** (577) 39.00%
3. **Encouragement by courts, tribunals or other providers to reduce time and/or costs** (516) 35.00%
4. **Non-adjudicative dispute resolution methods (mediation or conciliation)** (604) 41.00%
5. **Pre-dispute or pre-escalation processes to prevent disputes** (623) 42.00%
6. **Technology to enable faster, cheaper procedures, (e.g. Online Dispute Resolution, electronic administration, remote hearings)** (308) 21.00%

**Other** (15) 1.00%
<table>
<thead>
<tr>
<th>AVG Rank</th>
<th>Party (user of dispute)</th>
<th>Advisor: An external lawyer...</th>
<th>Adjudicative Provider: A judge,...</th>
<th>Non-Adjudicative Provider:</th>
<th>Influencer:</th>
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<td>2. Combining adjudicative and non-adjudicative...</td>
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<td>4. Non-adjudicative dispute resolution</td>
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<tr>
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<td>5. Pre-dispute or pre-escalation processes...</td>
<td>3. Encouragement by courts, tribunals...</td>
<td>4. Non-adjudicative dispute resolution</td>
<td>5. Pre-dispute or pre-escalation processes...</td>
<td>5. Pre-dispute or pre-escalation processes...</td>
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<td>4. Non-adjudicative dispute resolution</td>
<td>4. Non-adjudicative dispute resolution</td>
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<td>3. Encouragement by courts, tribunals...</td>
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<td>3. Encouragement by courts, tribunals...</td>
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<td>1. Adjudicative dispute resolution methods...</td>
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<td></td>
<td></td>
<td>Other</td>
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</tbody>
</table>
Session 3 Question 3 - Group Results

Which of the following areas would most improve dispute resolution and access to justice?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’ = 3 points, ‘2nd choice’ = 2 points, ‘3rd choice’ = 1 point).

(2838 points: maximum no. of possible points per answer = 1419 points)

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<th>Points</th>
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<td>Accreditation or certification systems for dispute resolution providers</td>
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</tr>
<tr>
<td>2</td>
<td>Cost sanctions against parties for failing to try non-adjudicative processes</td>
<td>526</td>
</tr>
<tr>
<td>3</td>
<td>Legislation or conventions that promote recognition and enforcement of settlements, including those reached in mediation</td>
<td>726</td>
</tr>
<tr>
<td>4</td>
<td>Quality control and complaint mechanisms applicable to dispute resolution providers</td>
<td>448</td>
</tr>
<tr>
<td>5</td>
<td>Use of protocols promoting non-adjudicative processes before adjudicative processes (e.g. opt-out)</td>
<td>604</td>
</tr>
<tr>
<td>6</td>
<td>Rules governing third party funding</td>
<td>0</td>
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Other (50) 3.00%
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<th>Advisor: An external lawyer</th>
<th>Adjudicative Provider: A judge,</th>
<th>Non-Adjudicative Provider:</th>
<th>Influencer:</th>
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<td>3. Legislation or conventions that... 49%</td>
<td>3. Legislation or conventions that... 57%</td>
<td>5. Use of protocols promoting... 52%</td>
<td>3. Legislation or conventions that... 59%</td>
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<td>5. Use of protocols promoting... 40%</td>
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<td>5. Use of protocols promoting... 42%</td>
<td>3. Legislation or conventions that... 45%</td>
<td>5. Use of protocols promoting... 38%</td>
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<td>4. Quality control and complaint... 37%</td>
<td>5. Use of protocols promoting... 37%</td>
<td>2. Cost sanctions against parties... 35%</td>
<td>2. Cost sanctions against parties... 39%</td>
<td>4. Quality control and complaint... 35%</td>
</tr>
<tr>
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<td>1. Accreditation or certification systems... 36%</td>
<td>4. Quality control and complaint... 35%</td>
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<td>1. Accreditation or certification systems... 33%</td>
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<td>1. Accreditation or certification systems... 34%</td>
<td>Other 5%</td>
<td>4. Quality control and complaint... 25%</td>
<td>2. Cost sanctions against parties... 31%</td>
</tr>
<tr>
<td>6</td>
<td>Other 1%</td>
<td>Other 3%</td>
<td>Other 5%</td>
<td>Other 3%</td>
<td>Other 3%</td>
</tr>
</tbody>
</table>
Session 3 Question 4 - Group Question
Which stakeholders are likely to be most resistant to change in dispute resolution practice?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’ = 3 points, ‘2nd choice’ = 2 points, ‘3rd choice’ = 1 point).

(2838 points: maximum no. of possible points per answer = 1419 points)

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Points</th>
<th>Percentage</th>
</tr>
</thead>
<tbody>
<tr>
<td>Adjudicative Providers: judges and arbitrators or their organisations</td>
<td>598</td>
<td>41.00%</td>
</tr>
<tr>
<td>Governments/ministries of justice</td>
<td>465</td>
<td>32.00%</td>
</tr>
<tr>
<td>In-house lawyers</td>
<td>402</td>
<td>28.00%</td>
</tr>
<tr>
<td>Parties (non-legal personnel)</td>
<td>284</td>
<td>20.00%</td>
</tr>
<tr>
<td>Non-Adjudicative Providers: mediators and conciliators or their organisations</td>
<td>145</td>
<td>10.00%</td>
</tr>
<tr>
<td>Other</td>
<td>23</td>
<td>2.00%</td>
</tr>
<tr>
<td>Rank</td>
<td>AVG</td>
<td>Party (user of dispute)</td>
</tr>
<tr>
<td>------</td>
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<td>------------------------</td>
</tr>
<tr>
<td>1</td>
<td></td>
<td>2. External lawyers</td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>1. Adjudicative Providers: judges and...</td>
</tr>
<tr>
<td></td>
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<tr>
<td>7</td>
<td></td>
<td>Other</td>
</tr>
</tbody>
</table>

Session 3 Question 4 - Cross sorted Results
Session 3 Question 5 - Group Results

Which stakeholders have the potential to be most influential in bringing about change in dispute resolution practice?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point).

(2790 points: maximum no. of possible points per answer = 1395 points)

1. Adjudicative Providers: judges and arbitrators or their organisations (605) 42.00%

2. External lawyers (458) 32.00%

3. Governments/ministries of justice (577) 40.00%

4. In-house lawyers (422) 30.00%

5. Non-Adjudicative Providers: mediators and conciliators or their organisations (356) 25.00%

6. Parties (non-legal personnel) (351) 25.00%

Other (21) 1.00%
<table>
<thead>
<tr>
<th>AVG Rank</th>
<th>Party (user of dispute)</th>
<th>Advisor: An external lawyer</th>
<th>Adjudicative Provider: A judge,...</th>
<th>Non-Adjudicative Provider:</th>
<th>Influencer:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>3. Governments/ministries of justice 49%</td>
<td>2. External lawyers 45%</td>
<td>1. Adjudicative Providers: judges and... 50%</td>
<td>1. Adjudicative Providers: judges and... 46%</td>
<td>3. Governments/ministries of justice 40%</td>
</tr>
<tr>
<td>2</td>
<td>1. Adjudicative Providers: judges and... 45%</td>
<td>1. Adjudicative Providers: judges and... 39%</td>
<td>2. External lawyers 40%</td>
<td>3. Governments/ministries of justice 45%</td>
<td>1. Adjudicative Providers: judges and... 38%</td>
</tr>
<tr>
<td>7</td>
<td>Other 3%</td>
<td>Other 1%</td>
<td>Other 1%</td>
<td>Other 3%</td>
<td>Other 1%</td>
</tr>
</tbody>
</table>
Session 4 Question 1- Group Results
Who has the greatest responsibility for taking action to promote better access to justice?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point).
(2790 points: maximum no. of possible points per answer = 1395 points)

3. Governments/ministries of justice (912) 64.00%

1. Adjudicative Providers: judges and arbitrators or their organisations (736) 51.00%

2. External lawyers (425) 30.00%

5. Non-Adjudicative Providers: mediators and conciliators or their organisations (263) 18.00%

4. In-house lawyers (253) 18.00%

6. Parties (non-legal personnel) (190) 13.00%

Other (11) 1.00%
### Session 4 Question 1 - Cross sorted Results

<table>
<thead>
<tr>
<th>AVG Rank</th>
<th>Party (user of dispute)</th>
<th>Advisor: An external lawyer</th>
<th>Adjudicative Provider: A judge...</th>
<th>Non-Adjudicative Provider:</th>
<th>Influencer:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>3. Governments/ministries of justice (57%)</td>
<td>3. Governments/ministries of justice (57%)</td>
<td>3. Governments/ministries of justice (68%)</td>
<td>3. Governments/ministries of justice (77%)</td>
<td>3. Governments/ministries of justice (65%)</td>
</tr>
<tr>
<td>2</td>
<td>1. Adjudicative Providers: judges and... (51%)</td>
<td>1. Adjudicative Providers: judges and... (49%)</td>
<td>1. Adjudicative Providers: judges and... (52%)</td>
<td>1. Adjudicative Providers: judges and... (57%)</td>
<td>1. Adjudicative Providers: judges and... (54%)</td>
</tr>
<tr>
<td>3</td>
<td>2. External lawyers (32%)</td>
<td>2. External lawyers (42%)</td>
<td>2. External lawyers (30%)</td>
<td>2. External lawyers (23%)</td>
<td>2. External lawyers (24%)</td>
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</tr>
<tr>
<td>5</td>
<td>4. In-house lawyers (20%)</td>
<td>5. Non-Adjudicative Providers: mediators (18%)</td>
<td>4. In-house lawyers (19%)</td>
<td>4. In-house lawyers (12%)</td>
<td>6. Parties (non-legal personnel) (14%)</td>
</tr>
<tr>
<td>6</td>
<td>5. Non-Adjudicative Providers: mediators (15%)</td>
<td>6. Parties (non-legal personnel) (10%)</td>
<td>6. Parties (non-legal personnel) (9%)</td>
<td>Other (1%)</td>
<td>Other (2%)</td>
</tr>
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<td>7</td>
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</tbody>
</table>
Session 4 Question 2

What is the most effective way to improve parties' understanding of their options for dispute resolution? (Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point).

(2802 points: maximum no. of possible points per answer = 1401 points)

1. Creating collaborative dispute resolution centres or hubs to promote awareness (521) 36.00%

2. Education in business and/or law schools and the broader business community about adjudicative and non-adjudicative dispute resolution options (821) 57.00%

3. Procedural requirements for all legal personnel and parties to declare they have considered non-adjudicative dispute resolution options before initiating arbitration or litigation (531) 37.00%

4. Providing access to experts to guide parties in selecting the most appropriate dispute resolution process(es) (401) 28.00%

5. Requiring parties to attempt non-adjudicative options (i.e., mediation or conciliation) before initiating litigation or arbitration (511) 36.00%

Other (17) 1.00%
### Session 4 Question 2 - Cross sorted Results

<table>
<thead>
<tr>
<th>AVG Rank</th>
<th>Party (user of dispute...)</th>
<th>Advisor: An external lawyer...</th>
<th>Adjudicative Provider: A judge,...</th>
<th>Non-Adjudicative Provider:</th>
<th>Influencer:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>2. Education in business and/or... 56%</td>
<td>2. Education in business and/or... 62%</td>
<td>2. Education in business and/or... 65%</td>
<td>2. Education in business and/or... 55%</td>
<td>2. Education in business and/or... 58%</td>
</tr>
<tr>
<td>2</td>
<td>1. Creating collaborative dispute resolution... 44%</td>
<td>3. Procedural requirements for all... 42%</td>
<td>3. Procedural requirements for all... 41%</td>
<td>5. Requiring parties to attempt... 46%</td>
<td>1. Creating collaborative dispute resolution... 39%</td>
</tr>
<tr>
<td>3</td>
<td>5. Requiring parties to attempt... 38%</td>
<td>1. Creating collaborative dispute resolution... 37%</td>
<td>1. Creating collaborative dispute resolution... 33%</td>
<td>3. Procedural requirements for all... 36%</td>
<td>4. Providing access to experts... 38%</td>
</tr>
<tr>
<td>4</td>
<td>3. Procedural requirements for all... 34%</td>
<td>5. Requiring parties to attempt... 30%</td>
<td>4. Providing access to experts... 27%</td>
<td>1. Creating collaborative dispute resolution... 34%</td>
<td>3. Procedural requirements for all... 36%</td>
</tr>
<tr>
<td>5</td>
<td>4. Providing access to experts... 27%</td>
<td>4. Providing access to experts... 28%</td>
<td>Other 1%</td>
<td>4. Providing access to experts... 26%</td>
<td>5. Requiring parties to attempt... 29%</td>
</tr>
<tr>
<td>6</td>
<td>Other 1%</td>
<td>Other 3%</td>
<td></td>
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</tr>
</tbody>
</table>
Session 4 Question 3 - Group Results

To promote better access to justice, where should policymakers, governments and administrators focus their attention?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point).

(2790 points: maximum no. of possible points per answer = 1395 points)

3. Pre-dispute or early stage case evaluation or assessment systems using third party advisors who will not be involved in subsequent proceedings (712) 50.00%

2. Making non-adjudicative processes (mediation or conciliation) compulsory and/or a process parties can “opt-out” of before adjudicative processes can be initiated (673) 47.00%

1. Legislation or conventions promoting recognition and enforcement of settlements including those reached in mediation (640) 45.00%

5. Use of protocols promoting non-adjudicative processes (mediation or conciliation) before adjudicative processes (458) 32.00%

4. Reducing pressures on the courts to make them more efficient and accessible (284) 20.00%

Other (23) 2.00%
### Session 4 Question 3 - Cross sorted Results

<table>
<thead>
<tr>
<th>Rank</th>
<th>Party (user of dispute)</th>
<th>Advisor: An external lawyer...</th>
<th>Adjudicative Provider: A judge,...</th>
<th>Non-Adjudicative Provider:</th>
<th>Influencer:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>3. Pre-dispute or early stage... 62%</td>
<td>1. Legislation or conventions promoting... 53%</td>
<td>3. Pre-dispute or early stage... 55%</td>
<td>2. Making non-adjudicative processes (mediation...) 53%</td>
<td>2. Making non-adjudicative processes (mediation...) 50%</td>
</tr>
<tr>
<td>2</td>
<td>2. Making non-adjudicative processes (mediation...) 43%</td>
<td>3. Pre-dispute or early stage... 49%</td>
<td>2. Making non-adjudicative processes (mediation...) 52%</td>
<td>5. Use of protocols promoting... 47%</td>
<td>1. Legislation or conventions promoting... 46%</td>
</tr>
<tr>
<td>3</td>
<td>5. Use of protocols promoting... 28%</td>
<td>2. Making non-adjudicative processes (mediation...) 43%</td>
<td>1. Legislation or conventions promoting... 45%</td>
<td>3. Pre-dispute or early stage... 46%</td>
<td>5. Use of protocols promoting... 29%</td>
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<tr>
<td>4</td>
<td>4. Reducing pressures on the... 23%</td>
<td>4. Reducing pressures on the... 28%</td>
<td>5. Use of protocols promoting... 26%</td>
<td>1. Legislation or conventions promoting... 42%</td>
<td>4. Reducing pressures on the... 24%</td>
</tr>
<tr>
<td>5</td>
<td>5. Use of protocols promoting... 25%</td>
<td>4. Reducing pressures on the... 19%</td>
<td>4. Reducing pressures on the... 11%</td>
<td>Other 1%</td>
<td>Other 1%</td>
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<tr>
<td>6</td>
<td>Other 2%</td>
<td>Other 2%</td>
<td>Other 2%</td>
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</tbody>
</table>
### Session 4 Question 4 - Group Results

Which of the following will have the most significant impact on future policy-making in dispute resolution?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point).

(2772 points: maximum no. of possible points per answer = 1386 points)

<table>
<thead>
<tr>
<th>2. Demand for increased efficiency of dispute resolution processes, including through technology. (806) 57.00%</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Demand for certainty and enforceability of outcomes (664) 47.00%</td>
</tr>
<tr>
<td>4. Demand for increased transparency (456) 32.00%</td>
</tr>
<tr>
<td>6. Demand for processes that allow parties to represent themselves, without lawyers (295) 21.00%</td>
</tr>
<tr>
<td>5. Demand for increased uniformity and standardisation (284) 20.00%</td>
</tr>
<tr>
<td>3. Demand for increased rights of appeal/oversight of adjudicative providers (243) 17.00%</td>
</tr>
<tr>
<td>Other (24) 2.00%</td>
</tr>
<tr>
<td>AVG Rank</td>
</tr>
<tr>
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<tr>
<td>1</td>
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<td>5</td>
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<tr>
<td>6</td>
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<tr>
<td>7</td>
</tr>
</tbody>
</table>
Session 4 Question 5 - Group Results
What innovations/trends are going to have the most significant influence on the future of dispute resolution?

(Please rank your 3 preferred answers in order of priority: ‘1st choice’= 3 points, ‘2nd choice’= 2 points, ‘3rd choice’ = 1 point).
(2772 points: maximum no. of possible points per answer = 1386 points)

3. Greater emphasis on collaborative instead of adversarial processes for resolving disputes (745) 53.00%
1. Changes in corporate attitudes to conflict prevention (626) 44.00%
2. Enhanced understanding regarding how people behave and resolve conflict (e.g. from brain and social sciences) (487) 34.00%
5. Harmonisation of international laws and standards for dispute resolution systems (335) 24.00%
4. Greater emphasis on personal wellbeing and stress reduction of parties (251) 18.00%
6. Technological innovation (e.g. on-line dispute resolution) (311) 22.00%
Other (17) 1.00%
<table>
<thead>
<tr>
<th>AVG Rank</th>
<th>Party (user of dispute)</th>
<th>Advisor: An external lawyer...</th>
<th>Adjudicative Provider: A judge...</th>
<th>Non-Adjudicative Provider:</th>
<th>Influencer:</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>3. Greater emphasis on collaborative... 59%</td>
<td>3. Greater emphasis on collaborative... 48%</td>
<td>3. Greater emphasis on collaborative... 56%</td>
<td>3. Greater emphasis on collaborative... 60%</td>
<td>3. Greater emphasis on collaborative... 43%</td>
</tr>
<tr>
<td>2</td>
<td>1. Changes in corporate attitudes... 46%</td>
<td>1. Changes in corporate attitudes... 45%</td>
<td>1. Changes in corporate attitudes... 47%</td>
<td>1. Changes in corporate attitudes... 46%</td>
<td>1. Changes in corporate attitudes... 42%</td>
</tr>
<tr>
<td>3</td>
<td>2. Enhanced understanding regarding how... 33%</td>
<td>2. Enhanced understanding regarding how... 39%</td>
<td>5. Harmonisation of international laws... 33%</td>
<td>2. Enhanced understanding regarding how... 36%</td>
<td>2. Enhanced understanding regarding how... 40%</td>
</tr>
<tr>
<td>4</td>
<td>4. Greater emphasis on personal... 22%</td>
<td>5. Harmonisation of international laws... 24%</td>
<td>2. Enhanced understanding regarding how... 24%</td>
<td>5. Harmonisation of international laws... 22%</td>
<td>6. Technological innovation (e.g. on-line... 29%</td>
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<tr>
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<td>5. Harmonisation of international laws... 21%</td>
<td>6. Technological innovation (e.g. on-line... 22%</td>
<td>4. Greater emphasis on personal... 15%</td>
<td>4. Greater emphasis on personal... 14%</td>
<td>5. Harmonisation of international laws... 27%</td>
</tr>
<tr>
<td>6</td>
<td>6. Technological innovation (e.g. on-line... 18%</td>
<td>4. Greater emphasis on personal... 21%</td>
<td>Other 2%</td>
<td>Other 1%</td>
<td>4. Greater emphasis on personal... 10%</td>
</tr>
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<td>7</td>
<td>Other 1%</td>
<td>Other 1%</td>
<td>Other 1%</td>
<td>Other 1%</td>
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