Barbara A. Nagle Lechman

CONFLICT AND RESOLUTION





ASPEN PUBLISHERS

Conflict and Resolution

Second Edition

Barbara A. Nagle Lechman
Associate Professor

Associate Professor Montclair State University



© 2008 Barbara A. Nagle Lechman Published by Aspen Publishers. All Rights Reserved.

No part of this publication may be reproduced or transmitted in any form or by any means, electronic or mechanical, including photocopy, recording, or any information storage and retrieval system, without permission in writing from the publisher. Requests for permission to make copies of any part of this publication should be mailed to:

Aspen Publishers Attn: Permissions Department 76 Ninth Avenue, 7th Floor New York, NY 10011-5201

To contact Customer Care, e-mail customer.care@aspenpublishers.com, call 1-800-234-1660, fax 1-800-901-9075, or mail correspondence to:

Aspen Publishers Attn: Order Department PO Box 990 Frederick, MD 21705

Printed in the United States of America.

1234567890

ISBN 978-0-7355-6732-0

Library of Congress Cataloging-in-Publication Data

Nagle-Lechman, Barbara A., 1944-

Conflict and resolution / Barbara A. Nagle-Lechman. - 2nd ed.

p. cm

Includes bibliographical references and index.

ISBN 978-0-7355-6732-0

- 1. Dispute resolution (Law)—United States. 2. Arbitration and award—United States.
- 3. Mediation United States. 4 Negotiation. 5. Conflict management. I. Title.

KF9084.N35 2008 347.73'9-dc22

2007038177

About Wolters Kluwer Law & Business

Wolters Kluwer Law & Business is a leading provider of research information and workflow solutions in key specialty areas. The strengths of the individual brands of Aspen Publishers, CCH, Kluwer Law International and Loislaw are aligned within Wolters Kluwer Law & Business to provide comprehensive, in-depth solutions and expert-authored content for the legal, professional and education markets.

CCH was founded in 1913 and has served more than four generations of business professionals and their clients. The CCH products in the Wolters Kluwer Law & Business group are highly regarded electronic and print resources for legal, securities, antitrust and trade regulation, government contracting, banking, pension, payroll, employment and labor, and healthcare reimbursement and compliance professionals.

Aspen Publishers is a leading information provider for attorneys, business professionals and law students. Written by preeminent authorities, Aspen products offer analytical and practical information in a range of specialty practice areas from securities law and intellectual property to mergers and acquisitions and pension/benefits. Aspen's trusted legal education resources provide professors and students with high-quality, up-to-date and effective resources for successful instruction and study in all areas of the law.

Kluwer Law International supplies the global business community with comprehensive English-language international legal information. Legal practitioners, corporate counsel and business executives around the world rely on the Kluwer Law International journals, loose-leafs, books and electronic products for authoritative information in many areas of international legal practice.

Loislaw is a premier provider of digitized legal content to small law firm practitioners of various specializations. Loislaw provides attorneys with the ability to quickly and efficiently find the necessary legal information they need, when and where they need it, by facilitating access to primary law as well as state-specific law, records, forms and treatises.

Wolters Kluwer Law & Business, a unit of Wolters Kluwer, is headquartered in New York and Riverwoods, Illinois. Wolters Kluwer is a leading multinational publisher and information services company.

Preface

The goal of this book is to provide students with an understanding of conflict and a working knowledge of the three major forms of dispute resolution—negotiation, mediation, and arbitration. It is my hope that students will apply the theory and practice of dispute resolution to their personal as well as their professional lives.

The first two chapters concern the nature and diverse sources of conflict, and offer an overview of conflict resolution processes. Then, in chapters 3-5, more careful consideration is given to negotiation, mediation, and arbitration, respectively. The last two chapters serve as an introduction to other forms of dispute resolution in the legal context and to selected policy and ethical issues in the field. Each chapter concludes with a summary and exercises designed to engage students in knowledge application, integration, and expansion. Some chapters include role plays to allow students to experience how the theories of dispute resolution are practiced. The confidential information for each role play, plus additional role plays, can be found in the Instructor's Manual.

There are a number of ways this book can be used. It has served as the basic text in an undergraduate course. It could also be used in a section of a course. Finally, it could be the basis of a unit on dispute resolution in a course of study.

This new edition brings some international references, reflecting a greater appreciation for our global existence as well as my broadening international experience. Since writing the first edition, I have had the benefit of teaching in Nepal and presenting in Spain. I have also participated in the United State Institute of Peace's faculty seminar on international conflict resolution, thereby accessing a wonderful resource and learning a great deal more about international conflict and peace making.

There are more web references in this edition, based on an ever-increasing web presence in our lives. My students engage in online real time negotiation and mediation role plays. I plan on expanding my online experience to Second Life and applying that

to my students' learning experience. I urge students and faculty alike to continue exploring both web resources and the tools of technology in conflict management.

We as mediators and educators have seen the discipline of mediation expand since the first edition, with the emergence of new models, greater application of mediation in various disciplines, and more research available to students. That expanded knowledge base permeates Chapter 4.

The second edition includes further changes and additions arising from continuous learning, practicing, reflection, and teaching in the full field of Conflict and Conflict Resolution. The literature has greatly expanded, and Codes of Conduct and ethical guidelines have changed. Some role plays have been modified based on classroom experience, and others have been added to enhance the students' active learning experience.

I would like to thank my colleagues and teachers at the Hewlitt Institute for Socio-Legal Dispute Resolution at The Ohio State University in 1993, several of whom read preliminary drafts: Carol King, Tom Grexa, and Theresa Hagen. I would also like to thank friends and colleagues closer to home who have looked at drafts and made suggestions: Joseph Ryan, Rosalie Cannone McGill, Sheila O'Shea Criscione, and Marilyn Tayler. My students at Montclair State University have been a great source of inspiration and continue to teach me and improve my teaching in this field. My graduate assistant, Rich Adams, and several students who worked with me at various stages in the process, including Viki Giammarella and Dina Sadik, all contributed to the final product. The individual who contributed the most to the production of this book is a former student and now a colleague, attorney and adjunct professor Louis A. Chiafullo. Finally, I want to thank my husband, George Lechman, who always helps me experience conflict and its resolution from a very personal perspective and who provides ongoing support in so many ways that make life beautiful.

In connection with this revised edition, I would like to thank Quatey Franklin, a graduate student who assisted with research, Rhiannon Cunnah, a student who did some proofreading, and faculty who used the text and gave valuable input, including Joanne Bochis, Sheila Criscione, Paula Eisen, Cort Engelken, and Tom Zeringo, as well as Auram Segall for his contribution of several new role plays. On a personal level, I want to again thank my dear husband, George Lechman, for his *daily* support and my friend Winsome Tennant for her friendship and prayer.

Barbara Nagle Lechman

September 2007

Acknowledgments

The author gratefully acknowledges the permissions granted to reproduce the following materials:

- Code of Ethics for Arbitrators in Commercial Disputes (2004). American Arbitration Association and American Bar Association. Reprinted with permission.
- Conflict Between People and Groups, Causes, Processes, and Resolutions 1st edition by WORCHEL/SIMPSON 1993. Reprinted with permission of Wadsworth, a division of Thomson Learning: www.thomsonrights.com. Fax 800 730 2215.
- Goldberg, Stephen B., Sander, Frank E. A., & Rogers, Nancy H., Cole, Sarah Rudolph *Dispute Resolution: Negotiation, Mediation, and Other Processes* (5th ed. 2007). Copyright © 2007 by Aspen Publishers. Reprinted with permission.
- McIver, John P. & Keilitz, Susan, Court-Annexed Arbitration: An Introduction, 14 Justice Systems Journal, No. 2, Copyright ©1991 National Center for State Courts. Used with Permission.
- Model Standards of Conduct for Mediators (2005). American Arbitration Association, American Bar Association, and Association for Conflict Resolution. Reprinted with permission. Reproduced with permission from the Association for Conflict Resolution (ACR), www.ACRnet.org
- Reprinted by Permission of the publisher from The Art and Science of Negotiation: How to Resolve Conflicts and Get the Best Out of Bargaining by Howard Raiffa, 11-19, 47, 54, 78, 102, 110-111, 142-144, 148, 198, 205-217, 218, 220, 252, 254, 346, Cambridge, Mass.: The Belknap Press of Harvard University Press, Copyright ©1982 by the President and Fellows of Harvard College.
- Reprinted from Ending It: Dispute Resolution in America: Descriptions, Examples Cases, and Questions with permission. Copyright 1990 Matthew Bender & Company, Inc., a member of the LexisNexis Group. All rights reserved.

- Sander, Frank E. A., The Courthouse and Alternative Dispute Resolution, reprinted in Negotiation Strategies for Mutual Gain: The Basic Seminar of the Program on Negotiation at Harvard Law School (Lavinia Hall, ed. 1993). SAGE Publications, Inc., Newbury Park. Reprinted with permission.
- Scott, Gini Graham, PhD. Disagreements, Disputes, and All Out War by AMACOM. (2007). www.ginigrahamscott.com and www.workingwithhumans.com.
- Singer, Linda R., Settling Disputes: Conflict Resolution in Business, Families, and The Legal System (2d ed. 1994). Copyright © 1994 by West-view Press. Reprinted by permission of The Perseus Book Group.
- Yarn, Douglas H., ed., *Dictionary of Conflict Resolution* (1999). Reprinted with permission of John Wiley & Sons, Inc.

Summary of Contents

Contents
Preface
Acknowledgments
1. Introduction
2. Conflict
3. Negotiation
4. Mediation
5. Arbitration
6. Other Forms of Dispute Resolution
7. Policy, Ethical, and Practical Issues
Appendices
A. Model Standards of Conduct for Mediators
B. Code of Ethics for Arbitrators in Commercial Disputes
C. Example of Med-Arb
Bibliography
Index 183

Table of Contents

	efacexvii knowledgmentsxix	
1.	Introduction	
	Introductory Notes	3
	Conflict's Impact and the Necessity of Understanding Conflict	
	Conflict Is Pervasive	
	Sources of Conflict	
	Overview of Conflict Resolution Processes)
	Negotiation	
	Mediation	
	Arbitration	
	The Court System	
	Exercises	í
2.	Conflict	7
	Introduction	3
	What Is Conflict and How Is It Perceived?)
	Sources of Interpersonal Conflict	í
	Differences	
	Resources	
	Miscommunication	7

	Anger, Mistrust, and Fear
	International Conflict
	Summary
	<i>Exercises</i>
3.	Negotiation
	Introduction
	Negotiation Theories
	Competitive Approach
	Cooperative Approach
	Distributive vs. Integrative Bargaining
	Transactional vs. Problem-Solving Negotiation
	Linking Issues
	Flexibility
	Examples
	One-Text Approach
	Theory Summary
	Preparation for Negotiation
	Factual Preparation
	Role-Playing
	Other Determinations
	Time, Place, and Parties
	Flexibility
	•
	Essential Steps in the Process
	Preliminary Negotiations
	Central Negotiations
	Closing of Negotiations
	Other Factors
	Summary
	Communication Skills
	Verbal Communication

	Listening Skills
	Active Listening Skills
	Reflective Listening Skills
	Nonverbal Communication
	Other Issues
	Applications
	Professional Fulfillment
	On Behalf of the Employer
	Rulemaking Negotiation
	Ethics
	Ethical Rules
	Representative Conflict
	A Higher Standard
	Confidentiality
	Exercises
	Negotiation Role Plays
	A Family in Crisis (three parties)
	Office Injustices (five parties)
	The Computer System (two parties)
	The Japanese Businessman (two parties)
4.	Mediation
	Introduction
	Preparation for Mediation
	Mediator Preparation
	Party Preparation
	Methodology
	Facilitative Model
	Evaluative Model
	Single-Text Mediation
	Transformative Model

Therapy/Counseling vs. Mediation
Other Variations
Essential Steps in the Process
Mediator Introduction
Party Statements/Factfinding
Issue Clarification and Option Generation
Selecting Alternatives/Decisionmaking
Clarification
Closing
Implementation
Summary of Essential Steps for Mediators
Facilitative Skills
Communication Skills
Interpersonal Skills
Neutrality
What Is It?
Power Imbalances
Applications
Community Disputes
School Mediation
Criminal Mediation
Mediation of Civil Matters
Mediation of Family Matters
Mediation of Administrative Matters
Labor Relations
Construction Mediation
Environmental Mediation
Commercial Mediation
International Mediation
Ethics
Self-Determination
Impartiality
Confidentiality
Conflicts of Interest

	Competence86Illegal Agreements87Appropriate Parties and Unrepresented Interests87Power Imbalances88Language89Disclosure of Criminal Activity89
	Summary
	<i>Exercises</i>
	Mediation Role Plays
	Neighborhood Dispute (four individuals, two parties)
	Women in College (two mediators, six parties)93
	Corporate Legal Department (two parties)
5.	Arbitration
	Introduction
	Private and Court-Annexed Arbitration
	How Do Disputants Come to Arbitration?
	Binding and Nonbinding Arbitration
	Mandatory or Voluntary Arbitration
	Applications101Labor Relations101Commercial Arbitration102Court-Annexed Arbitration102Consumer Disputes104Other Applications104
	Understanding the Process105Preparation105Procedure106Final-Offer Arbitration106Attorney and Paralegal Roles107
	The Arbitrator's Role
	Ethics

	Summary
	Exercises
	Arbitration Role Play
	Unpaid Contract
6.	Other Forms of Dispute Resolution
	Introduction
	Adjudicative Processes
	Court-Related Nonadjudicative Processes119Mini-trial119Summary Jury Trial120Focus Groups122Neutral Expert Factfinding122Early Settlement/Bar Paneling123
	Noncourt-Related Nonadjudicative Processes123Ombudperson123Conciliation126Facilitation126
	Summary
	Exercises
	Med-Arb Role Play
7.	Policy, Ethical, and Practice Issues
	Introduction
	Policy Issues
	the Court System