

APPENDIX B

THE ARBITRATION PROFESSION IN TRANSITION:
PRELIMINARY RESULTS FROM A SURVEY OF THE
NATIONAL ACADEMY OF ARBITRATORS

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**The Rise of ADR: The Growing Use of Arbitration and
Mediation in Employment Disputes**

In recent years, there has been a dramatic increase in the arbitration and mediation of employment-related disputes. This increase has been part of a larger shift from reliance on litigation and agency resolution of disputes to the use of alternative dispute resolution (ADR), a trend particularly evident in the employment field. Over the course of several decades employees have been granted a long list of rights and protections included in a variety of laws, ranging from antidiscrimination statutes to pension safeguards to statutory attempts to guarantee safer and healthier workplaces. The growing use of arbitration, mediation, and related techniques to resolve statutory claims arising in employment relations is largely the consequence of the high costs and long

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delays associated with the use of administrative agencies and the court system to resolve disputes arising under these various statutes.

The growing use of ADR in employment disputes has occurred both inside and outside collective bargaining. In some union workplaces, the parties attempt to resolve statutory claims using the grievance and arbitration procedures in their collective bargaining agreements. In other union workplaces, many, if not most, statutory claims are handled outside the collective bargaining arena. Employees in many such organizations pursue their statutory claims through the normal channels of agency and judicial resolution. In a minority but growing number of union-management relationships, the parties have created procedures for resolving statutory claims that are separate or "sheltered" from the collective bargaining agreement.

The growing use of arbitration and mediation to resolve employment disputes has been especially noteworthy in the nonunion sector. In the United States, as most people know, the proportion of the work force that is unionized has been steadily declining for over 40 years and currently stands at about 14 percent. Although the Canadian labor movement has not suffered as steep a decline as in the United States, a similar trend is apparent there. The growth of employment ADR in the nonunion sector is largely the consequence of employer attempts to avoid the high costs and long delays associated with the use of judicial and administrative means to resolve disputes. Of course, some nonunion employers are also motivated by a desire to provide their employees with fair and equitable dispute resolution procedures.

The trend toward the use of ADR in employment disputes has been approved by courts in both the United States and Canada. Most notably, in *Gilmer v. Interstate/Johnson Lane Corp.*,¹ the U.S. Supreme Court ruled that a stockbroker who had agreed to the New York State Stock Exchange's rule requiring arbitration of employment disputes between brokers and member firms could not sue his employer for an alleged violation of the Age Discrimination in Employment Act.² Since *Gilmer*, most federal appellate courts in the United States have applied the principle in that case

¹500 U.S. 20, 55 FEP Cases 1116 (1991).

²29 U.S.C. §§621 et seq. (1967).

to other industries and a variety of employment statutes. Encouraged by *Gilmer* and its progeny, a growing number of nonunion employers have required their employees—as a condition of their hiring—to agree to use arbitration to resolve statutory complaints rather than resorting to the courts. This form of *mandatory predispute arbitration* has proven to be very controversial. A federal commission appointed by the Clinton Administration and headed by former Secretary of Labor John T. Dunlop condemned its use.³ On the other hand, defenders of such agreements argue that, if properly designed, both employers and employees have the advantage of a fast, fair, and inexpensive means of resolving complaints.

The Response of the Academy to the Rise of ADR

The Academy has responded in a preliminary fashion to the changing realities of employment relations through its endorsement of the Due Process Protocol for Mediation and Arbitration of Statutory Disputes Arising out of the Employment Relationship.⁴ The Due Process Protocol was developed by a task force consisting of representatives from the Academy, the Labor and Employment Law Section of the American Bar Association, the American Arbitration Association, the Society of Professionals in Dispute Resolution, the Federal Mediation and Conciliation Service, and the American Civil Liberties Union. The task force debated the question of mandatory predispute arbitration but did not achieve consensus on this difficult issue,⁵ other than to agree that such agreements should be knowingly made. The task force did, however, agree on a set of “standards of exemplary due process,”⁶ including the right of employees in arbitration and mediation cases to be represented by a spokesperson of their own choosing, employer reimbursement of at least a portion of employees’ attorney fees, especially for lower paid employees, and “adequate”

³Commission on the Future of Worker-Management Relations, Fact-Finding Report (U.S. Dept of Labor & U.S. Dept of Commerce, May 1994), at 25–33 [hereinafter referred to as the Dunlop Commission].

⁴*Appendix B: A Due Process Protocol for Mediation and Arbitration of Statutory Disputes Arising Out of the Employment Relationship*, in *Arbitration 1995: New Challenges and Expanding Responsibilities*, Proceedings of the 48th Annual Meeting, National Academy of Arbitrators, ed. Najita (BNA Books 1996), 298.

⁵*Id.* at 299.

⁶*Id.*

employee “access” to “all information reasonably relevant to mediation and/or arbitration of their claims.”⁷ The Due Process Protocol also calls for the use of qualified and impartial arbitrators and mediators drawn from rosters that are diversified on the basis of gender, ethnicity, background, and experience. To guarantee an adequate supply of qualified neutrals, the Protocol calls for “the development of a training program to educate existing and potential labor and employment mediators and arbitrators.”⁸

The Need for a Survey

Although the Academy has taken these significant steps, it has acted on the basis of only anecdotal information about the extent and nature of the actual professional activities and goals of its members. In unionized settings, for example, there has been to date no empirical study on the frequency with which arbitrators are called upon to adjudicate statutory rights under the terms of collective bargaining agreements. We have historically lacked data on the frequency of such cases, the types of statutory rights invoked, the procedural and evidentiary rules applied in such cases, and the scope of remedial jurisdiction exercised by arbitrators in such disputes. To what extent do the parties to collective bargaining agreements vest jurisdiction in labor arbitrators in respect to employment-related statutory rights?

Of equal significance to the Academy and to the practice of dispute resolution generally, is the absence of information regarding the number of Academy members who have been serving as arbitrators or mediators in nonunion employment disputes. We have known nothing whatsoever of the extent to which Academy members—arguably the most important group of arbitrators in North America—have moved into the burgeoning field of ADR. How many labor arbitrators have undertaken the arbitration or mediation of nonlabor cases? How many have moved outside the workplace to serve as mediators or arbitrators of commercial, environmental, product liability, or other types of disputes? When labor arbitrators expand their practice into nonlabor areas, what due process standards and procedural safeguards do they apply?

⁷*Id.* at 300.

⁸*Id.* at 301.

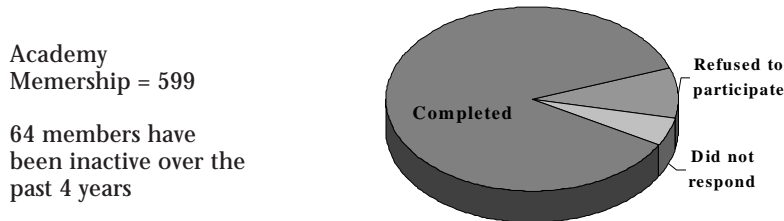
The absence of empirical knowledge on these critical questions has hampered the Academy in making decisions with respect to its current policies and future directions. The Academy, for example, has had no meaningful benchmark data for designing its training initiatives nor has it had any baseline data for assessing the future growth or decline of its members' involvement in nonlabor arbitration or mediation. There has been to date no information on the extent to which Academy members apply the standards enumerated in the Due Process Protocol and the Academy's own guidelines. By signing the Due Process Protocol, however, the Academy has pledged itself to vigilance and responsibility concerning the activities of its members who mediate and arbitrate employment-related disputes. There can be no informed vigilance, however, in the absence of a base of knowledge.

Survey Methodology

Accordingly, in 1998 the Academy decided to survey its members about these and related issues. It assigned responsibility for the survey to its Committee on Employment-Related Dispute Resolution (ERDR), chaired by Michel G. Picher, the senior author of this paper. The Academy also commissioned the Cornell/PERC Institute on Conflict Resolution at Cornell University to supervise the design, implementation, and analysis of the survey, working in association with the ERDR Committee. A joint Academy-Cornell team was formed. It consisted of members of the ERDR Committee and faculty and staff from the Institute on Conflict Resolution and the Computer-Assisted Survey Team (CAST), Cornell's survey research unit.

The sample for the survey was the entire membership of the National Academy of Arbitrators. As of January 1999, the Academy had a total of 599 members. Not all Academy members, however, are actively engaged in the practice of arbitration. Eligibility for inclusion in the survey was determined by whether the Academy respondent had either arbitrated or mediated any type of case during the years 1996–1998. Respondents were offered three options: (1) complete a mailed questionnaire and return it by mail, (2) participate in a telephone survey using a CATI (computer-assisted telephone interviewing) system, or (3) complete a faxed questionnaire.

Figure 1 summarizes responses to the survey. Of the 599 Academy members, 64 (11 percent) were deemed ineligible because

Figure 1. Survey Response Summary.

Source: National Academy of Arbitrators: *Survey of Professional Practice*, Picher/Seeber/Lipsky, June 3, 1999.

they had not arbitrated or mediated in the previous 3 years. Another 25 Academy members did not respond to the survey and could not otherwise be reached. Forty-eight Academy members refused to participate in the survey. Completed surveys were obtained from 462 Academy members. That figure represents 77 percent of the total membership and, as Figure 2 shows, 86 percent of the members deemed eligible to participate in the survey. Of those completing the survey, 274 did so by telephone interview and 188 by either conventional mail or fax. The average length of the telephone interviews was 31 minutes. Needless to say, an 86 percent response rate is an extraordinary result, significantly higher than the norm for surveys of this type.

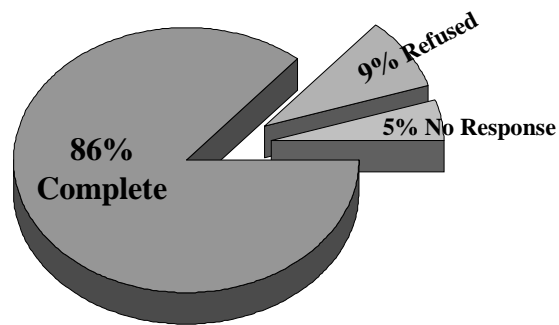
A Profile of Academy Members

Age and Full-Time Status

The average Academy member is 63 years old and earned 76 percent of his or her income from work as a neutral during 1996–1998. About 10 percent of Academy members are under age 50, while nearly 7 percent are over age 80. About a fifth of the Academy members reported that they do not engage in full-time work activity.

Figure 2. Percent of Those Eligible to Respond.

Of those eligible to respond (N = 534) . . .



Gender and Race

Figures 3 through 6 show the distribution of Academy members by gender, education, and race. Only 12 percent of Academy members are women (Figure 4) and 6 percent are nonwhite (Figure 5). On average, the female members of the Academy are younger (mean age of 56) than the male members (mean age of 64).

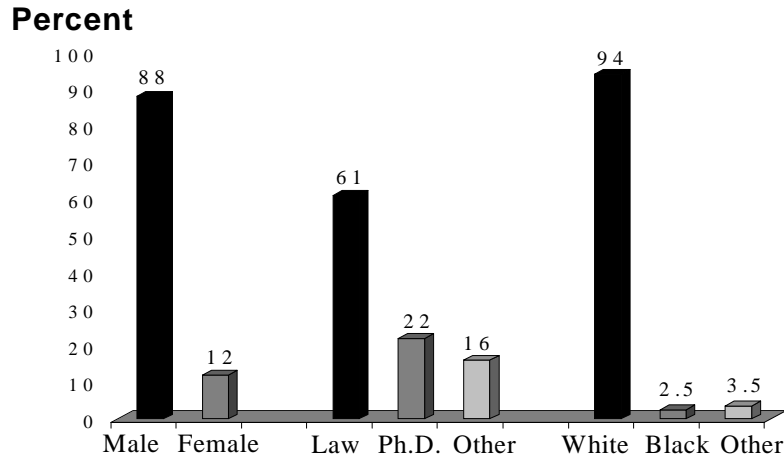
Education

As Figures 3 and 6 show, 61.4 percent of Academy members reported having a law or J.D. degree. Most of the remaining Academy members have either a master's degree (12.6 percent) or a doctorate (22 percent). Further analysis suggests that the members' level and type of education is not related to their age.

Experience as a neutral

The average member of the Academy has served as an arbitrator for 26 years and the range for this variable is from 7 to 59 years. The average Academy member has also served as a mediator for 15 years. The average respondent has been a member of the Academy for 16 years. A handful have been members since the Academy's founding in 1947.

Figure 3. Demographic Characteristics of Academy Members.



Source: National Academy of Arbitrators: *Survey of Professional Practice*, Picher/Seeber/Lipsky, June 3, 1999.

Figure 4. Academy Members by Gender.

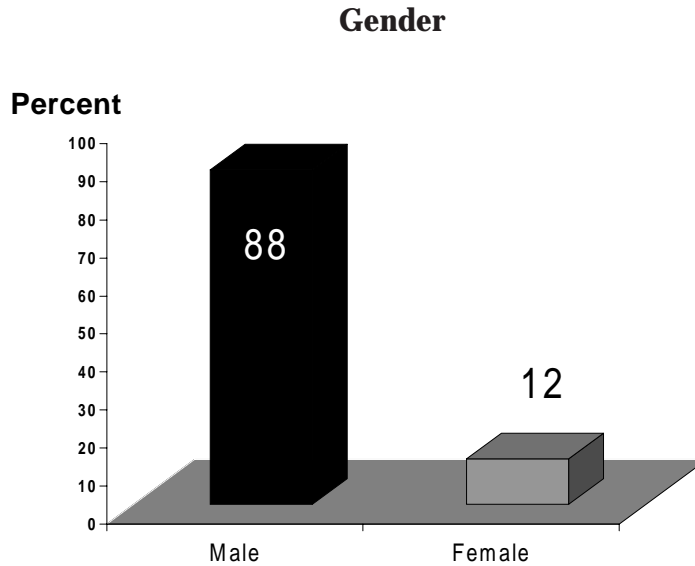


Figure 5. Academy Members by Race.

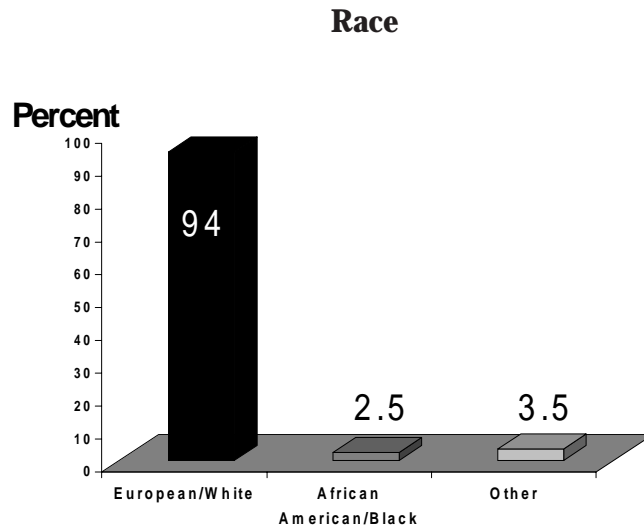
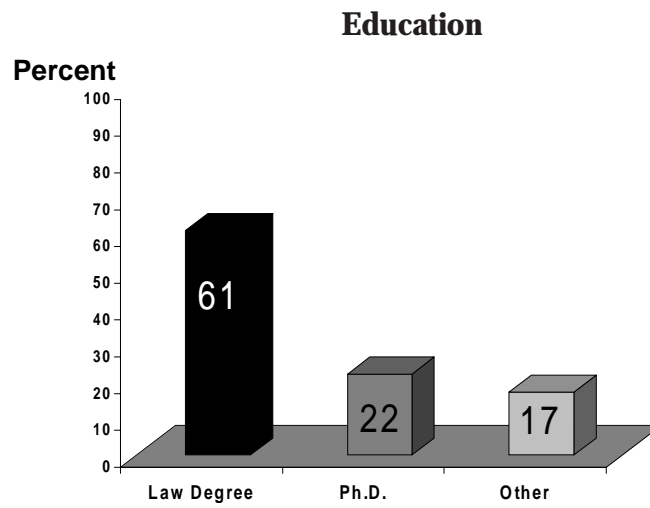


Figure 6. Academy Members by Educational Level.



The Extent and Nature of Academy Members' Caseloads Inside and Outside Labor-Management Relations

All members of the Academy, of course, have the core of their practice in labor-management arbitration. Academy members' experiences are summarized in Figure 7. Our findings imply that the 462 respondents to our survey arbitrated over 73,000 cases of all kinds during the period 1996–1998. In addition, Academy members mediated over 7,000 cases of all kinds during the same period. About half the respondents (49 percent) reported that they had mediated at least one labor-management dispute during the preceding 3 years. The *average* member of the Academy arbitrated 160 cases and mediated 15 during the period 1996–1998. The average yearly caseload of an Academy member would therefore be about 55.

To what extent has the rise of ADR been associated with Academy members moving into the arbitration or mediation of disputes

Figure 7. Academy Members' Professional Experience.

From 1996–1998, Academy members:

served as arbitrators in over 73,000 cases of all kinds
served as mediators in over 7,000 cases of all kinds

Of the Academy members responding to the survey:

82% arbitrated disputes that required them to interpret or apply a statute
49% mediated a labor-management dispute
46% arbitrated a nonunion employment dispute
23% mediated a nonunion employment dispute
25% arbitrated a nonemployment dispute
16% mediated a nonemployment dispute

Source: National Academy of Arbitrators: *Survey of Professional Practice*, Picher/Seeber/Lipsky, June 3, 1999.

outside of the labor-management arena? As Figure 7 shows, our survey suggests that member experience as a neutral outside collective bargaining is reasonably extensive but not very intensive. Of the Academy members responding to the survey regarding their experience during the period 1996–1998,

- 46 percent arbitrated a nonunion employment dispute
- 23 percent mediated a nonunion employment dispute
- 25 percent arbitrated a nonemployment dispute
- 16 percent mediated a nonemployment dispute

As Figure 8 shows, however, Academy members who have moved into neutral work outside of labor-management relations had very light caseloads during the 1996–1998 period. On average, they *arbitrated* 5 nonunion employment cases, *mediated* 11 nonunion employment cases, *arbitrated* 9 nonemployment cases (commercial, product liability, etc.), and *mediated* 15 nonemployment cases.

In our survey, we probed those respondents who had not engaged in neutral work outside of labor-management relations to find out under what circumstances, if any, they would accept a nonunion case. Figure 9 summarizes Academy members' attitudes about accepting nonunion arbitration and mediation work. It shows that at least 70 percent of the members would do nonunion mediation and arbitration work if there were acceptable due process protections.

We also asked survey respondents to tell us what types of disputes they had handled outside the labor-management relations and employment arenas. Recall that about 25 percent of the Academy members had arbitrated nonlabor or nonemployment cases and

Figure 8. Members' Experience Outside of Labor-Management Arbitration.

Of those who have:

Arbitrated nonunion employment, they have conducted 5 cases

Mediated nonunion employment, they have conducted 11 cases

Arbitrated nonemployment, they have conducted 9 cases

Mediated nonemployment, they have conducted 15 cases

Figure 9. Members' Attitude About Expanding Practice Outside Collective Bargaining Arbitration.

Strong Desire to Expand Practice Outside Collective Bargaining Arbitration

Of those who have *not* practiced outside labor-management arbitration,

87% *would* accept a nonunion arbitration case

77% *would* accept a nonunion mediation case

73% *would* accept a nonemployment arbitration case

69% *would* accept a nonemployment mediation case

under the *right* circumstances.

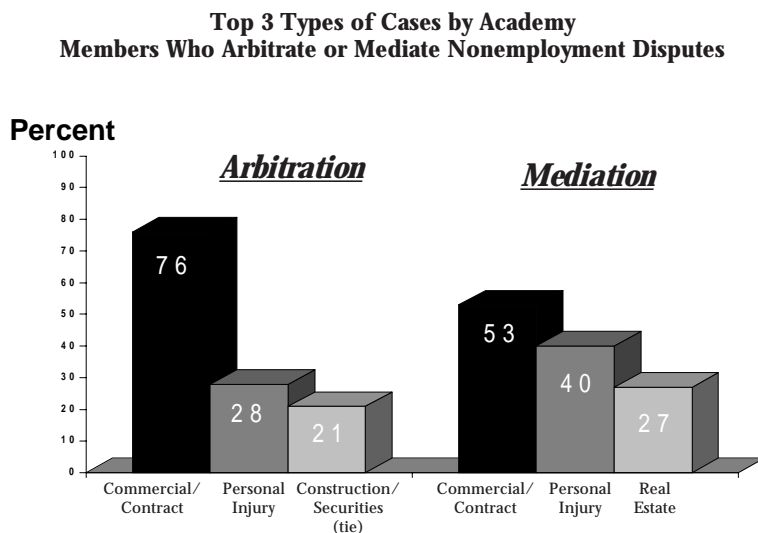
16 percent had mediated such cases. In Figure 10, we observe that the bulk of the work Academy members have accepted outside the labor and employment area is in the commercial category (e.g., 76 percent of the Academy members who have arbitrated a nonemployment case have served in a commercial or contractual dispute). A considerable number of Academy members have also served in personal injury, real estate, construction, and securities cases. On the other hand, very few Academy members have any experience in disputes involving intellectual property, product liability, and corporate finance.

A Practice Typology

As part of our data analysis, we divided Academy respondents into five groups, based on the types of neutral practices that they maintained over the 3-year period, 1996–1998. We found that the type of neutral work performed by individual respondents is significantly different one from another, and that those differences are associated with differences in other behaviors and attitudes.

Recall that we asked Academy members about the various kinds of cases in which they had served as a neutral during the past 3 years. Those six types of cases—labor-management arbitration, labor-management mediation, nonunion employment arbitra-

Figure 10. Types of Nonemployment Disputes Academy Members Arbitrate or Mediate.



Source: National Academy of Arbitrators: *Survey of Professional Practice*, Picher/Seeber/Lipsky, June 3, 1999.

tion, nonunion employment mediation, nonemployment arbitration, and nonemployment mediation— represent *all* the possibilities for arbitration and mediation work. When we divided the Academy population into the groups that did each of these kinds of work, it became apparent to us that there were very different types of members engaged in the different types of practice.

In Table 1 we present the Academy membership allocated into five types of practice, each type constructed on the basis of the nature of the respondent's caseload over the past 3 years. We call the first type of practice "labor-management arbitration only." This group of members has done no work during the past 3 years outside the primary jurisdiction of the Academy, that is, arbitration in unionized employment settings. It represents approximately one-quarter of the respondents to our survey. We label the second group "labor-management relations only." This group of members

Table 1. A Practice Typology

<i>Respondent's Type of Practice</i>	<i>Number of Respondents</i>	<i>Types of Cases</i>					
		<i>Labor- Management Arbitration</i>	<i>Labor- Management Mediation</i>	<i>Nonunion Employment Arbitration</i>	<i>Nonunion Employment Mediation</i>	<i>Nonemploy- ment Arbitration</i>	<i>Nonemploy- ment Mediation</i>
Labor-Management Arbitration	117	X	—	—	—	—	—
Labor-Management Relations Only	58	X	X	—	—	—	—
“Workplace Neutral”	140	X	X	X	X	—	—
Labor-Management Relations and Nonemployment	41	X	X	—	—	X	X
“Multineutral”	99	X	X	X	X	X	X

Note. An “X” in the table indicates respondent accepted this type of case in 1996–1998.

has engaged in both labor-management arbitration and mediation but has not moved into ADR. They represent a smaller percentage (13 percent) of the membership, but are still a sizable minority within the Academy.

The third group of respondents we call “workplace neutrals.” This group of Academy members has conducted either nonunion arbitration or mediation in addition to their basic labor-management practice. “Workplace neutrals,” however, have not served as neutrals outside the workplace, reporting no nonemployment mediation or arbitration cases. This group is the largest within the Academy—140 members or 31 percent of the respondents to the survey. The fourth practice type consists of Academy members who have accepted both labor-management and nonemployment cases. This group has worked outside the labor-management context, but not in nonunion settings. It is the smallest of the five with only 41 (9 percent) of the members reporting practices that fit this type. The final group we have labeled “multineutrals.” Residents in this group have worked not only in the labor-management arena, but also have served as arbitrators or mediators in both nonunion and nonemployment settings. Multineutrals comprise about one-fifth of the Academy membership, with 99 individuals fitting this profile.

When we compared Academy respondents who fell into the category “multineutrals” to respondents who confined their work to labor-management arbitration, we found that multineutrals have been members of the Academy for a significantly shorter length of time, tend to be younger, are more likely to be lawyers, and have different attitudes about due process (being somewhat more flexible). On the other hand, and contrary to our expectations, the proportion of multineutrals who are women is not significantly different from the proportion of women among the members who do only labor-management arbitration. In fact, gender ratios are about the same across all five practice types. The relationship between type of practice and other key variables is a matter we will explore in greater depth in our final report to the Academy.

Remuneration

We asked Academy members to tell us the fee rates they charged for their work as arbitrators and mediators. We allowed them to provide us their rates on either an hourly or daily basis and in either

U.S. or Canadian dollars. We also asked whether the rate they were quoting was a "block fee," a practice common in Canada. We asked them what was the lowest fee rate they had charged for their work as an arbitrator in the last year; we also asked the highest rate they charged as an arbitrator in the last year. In addition, we asked parallel questions regarding their work as mediators. We subsequently converted all reported rates into daily rates, multiplying the hourly rate by 7.0 hours. We also converted fee rates given in Canadian dollars to U.S. dollars by multiplying Canadian dollars by 0.6507, the exchange rate that prevailed as of December 31, 1998.

In Table 2, the average rates charged by Academy respondents in 1998 are displayed. It is interesting to note that those Academy members who engage in mediation (recall that about half the members do) charge higher rates for mediation than is the norm for arbitration. We speculate that the higher rates charged for mediation are in part a consequence of the fact that the arbitrators who have moved into the mediation of disputes outside employment relations (such as commercial, environmental, and international disputes) have been able to take advantage of the higher prevailing rates offered to neutrals in these types of disputes.

We also found that the practice typology that we constructed for Academy members is related to the fees they charged in 1998. This relationship is illustrated in Figure 11. In this figure, fees charged by respondents have been divided into quartiles; for example, 25 percent of the respondents charged more than \$900 a day and 25 percent charged under \$650 a day. It is apparent that multineutrals, for example, charged higher fees than respondents who fall into one of the other practice types. Examine the last column of the figure: 50 percent of multineutrals charged over \$900 a day,

Table 2. Average Daily Rates Charged for Arbitration and Mediation by Academy Respondents in 1998

	<i>Lowest Fee Rate Charged</i>	<i>Highest Fee Rate Charged</i>
Arbitration	\$640	\$ 851
Mediation	\$854	\$1,158

Figure 11. Arbitration Fees by Practice Type.

	<i>Under \$650 per day</i>	<i>\$650–749 per day</i>	<i>\$750–899 per day</i>	<i>Over \$900 per day</i>
L-M Arb Only	39%	23%	21%	17%
L-M Arb & Med	29%	22%	41%	8%
“Workplace Neutral”	23%	23%	27%	27%
L-M and Nonemp	29%	20%	20%	32%
“Multineutral”	14%	13%	23%	50%

compared with 17 percent of the respondents who confined their practice to labor-management arbitration.

The Application of Statutory Rights

To what extent has the increasing statutory regulation of the employment relationship affected the nature of an Academy member’s practice? About four out of five (82 percent) Academy members in our survey reported that within the past 3 years they had arbitrated a dispute that required them to interpret or apply a statute. They further told us that cases involving statutory claims now constituted about 10 percent of their total labor-management arbitrations. As shown in Figure 12, the bulk of the statutory claims heard by labor-management arbitrators involve the application or interpretation of Title VII of the Civil Rights Act⁹ (78 percent of respondents reported applying this statute), the Americans with Disabilities Act (ADA)¹⁰ (71 percent), and the Family and Medical Leave Act (FMLA)¹¹ (61 percent). Some Canadian arbitrators reported applying the Human Rights Code and the Canadian

⁹Civil Rights Act of 1964, 42 U.S.C. §2000a et seq.

¹⁰42 U.S.C. §§12101–12213 (1994).

¹¹26 U.S.C. §2601 et seq. (1994).

Figure 12. Application of Statutory Rights.

	<i>% Applied Statute</i>	<i>% Received Training</i>	<i>% Provided Training</i>	<i>Priority for Training</i>
<i>Title VII EEO</i>	78	33	25	1
<i>ADA</i>	71	31	20	2
<i>FMLA</i>	61	21	14	3

Charter of Rights. Most of the Academy respondents also reported applying a variety of state, provincial, or local statutes in their labor-management arbitration decisions.

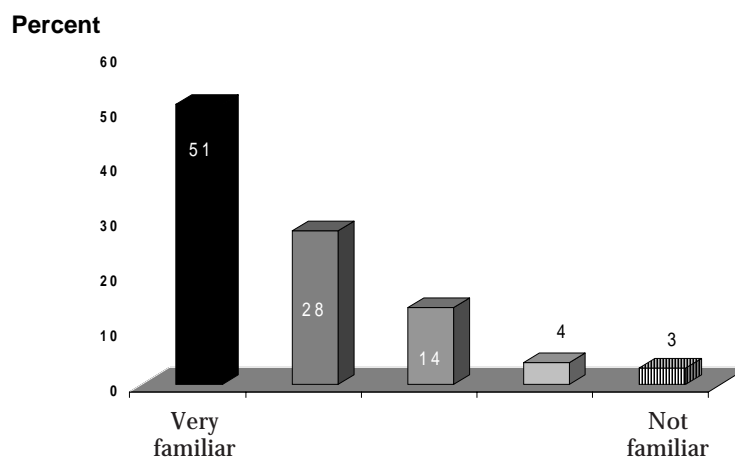
In addition, we asked the respondents (1) whether they had received training in the substance of that statute, or (2) whether they had provided such training. The respondents were also asked for their priorities for training the Academy might sponsor. We recognize that a substantial proportion of Academy members regularly teach in university classrooms or possess expertise useful to training programs on specific statutes. There are, however, fairly significant gaps between columns (2) and (3) in Figure 12, on the one hand, and column (1), on the other. For example, although 78 percent of the respondents have been required to interpret or apply Title VII, only 58 percent have either received or given training on that statute. Presumably, receiving or giving training in a subject suggests contemporary knowledge of that subject. Where do the remaining Academy members acquire their expertise on the statute? Perhaps this gap in knowledge is reflected in the priority respondents placed on receiving training on Title VII, which is shown in the last column of Figure 12. Similar potential gaps between the application and knowledge of statutes are apparent for the ADA and FMLA, as well. Responses to the training priority question may reflect respondents' consciousness of these gaps and provide useful guidance for the Academy in planning future training programs.

Attitudes About Due Process

Familiarity With the Due Process Protocol

Academy members reported strong familiarity with the Due Process Protocol, as demonstrated in Figure 13. When asked to report their familiarity with the Protocol, 79 percent answered either “one” or “two” on a five-point scale, with one being “very familiar” and five being “not familiar at all.” Only 7 percent responded four or five. We were curious about whether those who had a caseload outside labor-management arbitration were more familiar or less familiar with the Protocol. When we examined that question, we found that all groups responded similarly to the question.

Figure 13. Familiarity With the Due Process Protocol.



Source: National Academy of Arbitrators: *Survey of Professional Practice*, Picher/Seeber/Lipsky, June 3, 1999.

Attitudes About the Source of Fees

Specific aspects of procedural matters outside the unionized world of arbitration merit special attention. For example, we asked about fee practices in unionized arbitration and mediation, in nonunion mediation and arbitration, and in nonemployment arbitration and mediation. The questions were not exactly the same for obvious reasons. We could not ask, for example, whether “unions” and “management” equally split the arbitration fee except in the labor-management arena. We were able to ask parallel questions for nonunion arbitration and mediation and for nonemployment arbitration and mediation—that is, we were able to ask whether employers and employees split fees equally or, where appropriate, whether all parties split fees equally. Figure 14 reveals some important differences in sources of fees across areas of practice. As one would expect, the dominant practice in labor-management arbitration is for the union and the employer to split the fees equally. Almost all Academy members (98 percent) reported that fees are paid “always” or “often” in this manner. This same fee practice is the dominant pattern in nonemployment (i.e., commercial, etc.) arbitration, with 74 percent of the respondents reporting that the parties pay fees equally “always” or “often.” The practice in nonunion employment mediation and arbitration is different, however. There is still a significant number of respondents reporting that fees are split equally by employers and employees—36 percent for nonunion arbitration and 51 percent for nonunion mediation—but significant numbers of respondents reported that fees were paid by the employer alone in these types of cases “always” or “often.” Figure 14 shows 46 percent of Academy members reported that employers alone paid the fees for nonunion arbitration “always” or “often.”

We also found that Academy members were sharply divided in their attitudes toward the practice of having one party pay the fee entirely. As Figure 15 shows, a significant proportion of the respondents (35 percent) said that single payers compromised the arbitration process, while 45 percent did not agree with this opinion.

Academy members’ interview comments on the issue of how fees are paid in arbitration cases cast additional light on the nature of the debate. Respondents who told us that the source of fees *doesn’t* matter offered comments along the following line:

Figure 14. Sources of Fees.

	<i>% Saying Fees Paid Equally by Parties Always or Often</i>	<i>% Saying Fees Paid by Employer Alone Always or Often</i>
<i>Labor-Management Arb</i>	98	2
<i>Nonunion Arb</i>	36	46
<i>Nonunion Med</i>	51	33
<i>Nonemployment Arb</i>	74	NA
<i>Nonemployment Med</i>	64	NA

Source: National Academy of Arbitrators: *Survey of Professional Practice*, Picher/Seeber/Lipsky, June 3, 1999.

Arbitrators take pride in ensuring decisions that are based on the facts of the case. They protect their integrity and self-worth and I can't imagine anyone would make a decision based on who's going to pay the freight.

I don't have a problem with who pays—I call it the way I see it as long as I get paid for it by someone.

Perception of fairness is not the same as arbitrator's neutrality and integrity.

If fees must be split, access to arbitration may be limited to those with resources.

Integrity is integrity.

Respondents who told us that the source of fees *does* matter gave their views on the topic:

The appearance of undue influence by one party taints the process.

Who pays the piper calls the tune.

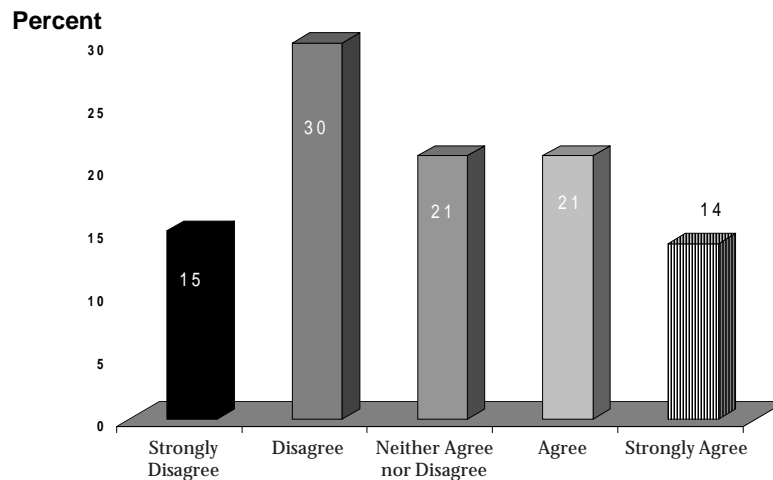
I think we're not all as rational as we'd like to be. It's very likely to have an insidious effect on the arbitrator's decision.

You don't bite the hand that feeds you.

Even if an arbitrator is scrupulously fair, he or she must retain the appearance of neutrality by equal division of the fee.

Figure 15. Attitude Regarding One Party Paying the Entire Fee.

If fees are paid entirely by one party,
the arbitration process is compromised.



Source: National Academy of Arbitrators: *Survey of Professional Practice*, Picher/Seeber/Lipsky, June 3, 1999.

It must not only be just, but it must appear to be just and if only one party's paying, nothing appears fair.

Some Academy members neither agree nor disagree with the view that the source of fees matters. They say "it depends":

It depends on numerous things. I think you can have absolute fairness in some situations where the employer pays where the employee cannot pay because they may not have access to a lawyer.

The pay factor alone does not necessarily compromise the process. One must look at the entire procedure. It must be remembered that an employee who has been discharged may be unable to pay.

These differences of opinion constitute an important dilemma for the Academy, especially as it considers its future directions.

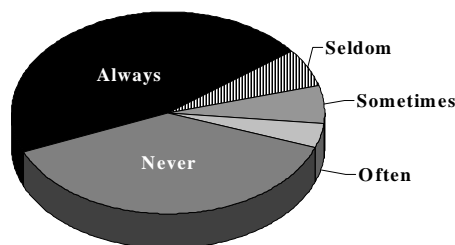
Practices on Disclosure

We asked Academy members certain questions regarding their practices on disclosure. For example, we asked them whether, when they served as arbitrators under a collective bargaining agreement, they disclosed to the union any noncollective bargaining arbitration or mediation cases they had conducted with the same employer. About 40 percent of the respondents reported they had had experience with this type of situation. It turns out, however, that the respondents with such experience were sharply divided on the question of disclosing their prior relationship to the employer. This division is illustrated in Figure 16. It shows that 46 percent of the Academy members who faced this particular situation reported that they “always” disclosed their prior experience with an employer to the union, while 38 percent reported that they “never” did.

The remaining respondents—16 percent of the total—fell into the categories “often did,” “sometimes did,” and “seldom did.” This is yet another difference of opinion among Academy members that may pose a dilemma in shaping the organization’s future.

Figure 16. Disclosure to Union of Prior Relationship With Employer.

Do you disclose to the union any noncollective bargaining arb/med cases you conducted with the same employer?



Source: National Academy of Arbitrators: *Survey of Professional Practice*, Picher/Seeber/Lipsky, June 3, 1999.

Conclusions

The results of our survey confirm the view that labor-management arbitration is a profession in the midst of transition. On the one hand, a significant number of Academy members continue to focus on the practice of labor arbitration and, for one reason or another, have not moved into ADR. On the other hand, an equally significant and presumably growing proportion of the Academy has accepted cases outside the labor-management arena. As our results demonstrate, Academy members' experience in ADR is extensive but not intensive. Caseloads during the 1996–1998 period, for those members who had accepted ADR-type cases, were relatively light. Nevertheless, the differences between Academy members who have and have not entered the ADR realm are noteworthy. As we have pointed out, for example, Academy members with ADR experience tend to be younger, more likely women, and more probably lawyers. Those members with more diverse practices—the “multineutrals,” for example—also tend to charge higher fees. Perhaps most notably, attitudes about certain aspects of due process—the source of fees, for example—distinguish one group from the other. Our final report to the Academy will include a more comprehensive analysis of these issues.

We also found that most Academy members—82 percent—had been required to apply or interpret a statute in their arbitration cases during the 1996–1998 period. Yet, we also found that a significant number of Academy members had neither received training nor offered training in the statutes they were required to apply. This finding certainly suggests that training programs on statutory matters would be a valuable undertaking.

Lastly, it is very difficult to evade the reality that Academy membership is exceptionally homogeneous with respect to race and gender. The numbers tell the story: 94 percent white and 88 percent male. We know also that past and present leaders of the Academy, as well as rank-and-file members, have been acutely conscious of this issue and have been seeking effective methods of increasing the Academy's membership diversity.

In our final report to the Academy, which is in preparation, we will have the opportunity to analyze all of these issues in much greater depth.

AUTHOR INDEX: 1998–1999

NOTE: The Index Entry refers to the years of the various annual meetings. Titles of volumes and the number of each annual meeting are listed below.

A

- Adler, Sara
NAA Members and the Exploding ADR Universe: I. An Overview of Employment ADR in California; 1998 26

B

- Bank, Richard M.
The Future of Collective Bargaining and Its Impact on Dispute Resolution. Labor Response, 1999 30
- Barnes, C. Richard
The Federal Mediation and Conciliation Service, 1999 110
- Benavides, Fortunato P.
Judicial Review of Labor Arbitration Awards: A View from the Bench. Comment, 1999 151
- Bickner, Mei Liang
NAA Members and the Exploding ADR Universe: II. Sexual Harassment Factfinding and Investigations: Issues and Dilemmas, 1998 29
- Boone, W. Daniel
A Debate: Should Labor Arbitrators Receive Evidence for "What It's Worth"? I. Union Perspective, 1998 89

C

- Clark, R. Theodore, Jr.
The Future of Collective Bargaining and Its Impact on Dispute Resolution. Management Response, 1999 41
- Coleman, Charles J.
Invited Paper: Mandatory Arbitration of Statutory Issues: Austin, Wright, and the Future, 1998 134
- Compton, William F.
Distinguished Speaker: Employee Ownership, A Union Appointed Director, and Profits: The TWA Story, 1998 9
- Cox, Archibald
Reminiscences. II. Fireside Chat, 1999 208

D

- Davis, W. Eugene
Judicial Review of Labor Arbitration Awards: A View from the Bench. Comment, 1999 151
- Dunsford, John E.
Should Arbitrators Retain Jurisdiction Over Awards. I. On Retaining Jurisdiction, 1998 102

- F**
- Feller, David E.
Reminiscences. I. Introduction;
1999 208
- G**
- Gold, Alan B.
Truth and Lies; 1999 196
- H**
- Harkless, James M.
*Presidential Address: The NAA and Its
Future;* 1999 1
- Hayford, Stephen L.
*How the Federal Arbitration Act Will
Stabilize and Strengthen the Law
of Labor Arbitration;* 1999 169
- J**
- Jones, Edgar A., Jr.
Reminiscences. I. Introduction;
1998 160
- K**
- Kaufman, Bruce E.
*The Future of Collective Bargaining and
Its Impact on Dispute Resolu-
tion;* 1999 11
- Keyes, Judith Droz
*A Debate: Should Labor Arbitrators Re-
ceive Evidence for "What It's
Worth"? II. Management Per-
spective;* 1998 98
- M**
- McLaren, Richard H.
Expediting the Arbitration; 1999 80
- Marx, Herbert L., Jr.
*Distinguished Speaker: Safeguarding
Employee Rights in Europe and
the United Kingdom (Com-
ment);* 1998 85
- Moreau, John
Expediting the Arbitration; 1999 80
- Murphy, William P.
Reminiscences. II. Fireside Chat;
1998 162
- N**
- Nicolau, George
*Should Arbitrators Retain Jurisdiction
Over Awards? II. O Functus Of-
ficio: Is It Time to Go?;*
1998 115
- Nielsen, Daniel
Appointing Agencies; 1999 103
- Nolan, Dennis R.
*The National Academy of Labor and
Employment Arbitrators?;*
1999 52
- R**
- Roberts, Thomas T.
*A Debate: Should Labor Arbitrators Re-
ceive Evidence for "What It's
Worth"? III. Neutral Perspective;*
1998 100
- Rubin, Milton
*Presidential Address: Where Have We
Been? Where Are We Going? Do
We Know?;* 1998 1
- S**
- Sanderson, John
Expediting the Arbitration; 1999 80
- Sapir, Donald L.
*Romance in the Workplace: I. An Over-
view of the Problem of Workplace
Romances;* 1998 16
- Sharpe, Calvin William
*Judicial Review of Labor Arbitration
Awards: A View from the Bench;*
1999 126
- Sherman, James
*Judicial Review of Labor Arbitration
Awards: A View from the Bench.
Comment;* 1999 151
- Slate, William K., II
American Arbitration Association;
1999 117
- Stallworth, Lamont E.
*NAA Members and the Exploding ADR
Universe: III. EEO Mediation at
the EEOC;* 1998 37

Stiller, Sharon

*Romance in the Workplace: III. Statutes
Limiting Regulation of Workplace
Romances*, 1998 22

T

Tickle, Christopher

*Distinguished Speaker: Safeguarding
Employee Rights in Europe and
the United Kingdom*, 1998 70

V

Varma, Arup

*NAA Members and the Exploding ADR
Universe: III. EEO Mediation at
the EEOC*, 1998 37

W

Wiener, Jacques L., Jr.

*Judicial Review of Labor Arbitration
Awards: A View from the Bench.
Comment*, 1999 151

Williams, Timothy D.W.

*NAA Members and the Exploding ADR
Universe: IV. Partnering: Dis-
pute Prevention in the Construc-
tion Industry*, 1998 60

Z

Zuckerman, Richard

*Romance in the Workplace: II. Types of
Policies Regulating Workplace
Romances*, 1998 20

TOPICAL INDEX

A

- Aaron, Ben 8, 126
Abiding Mediation & Arbitration Services 48
ADR Associates, Inc. 48
ADR Currents (AAA) 118
ADR Systems of America 48
Adversarialism 23, 26, 35–36
Advertising 70–71, 75
Advocates 70, 71, 79
AFL-CIO 31–33, 40, 44
Age Discrimination in Employment Act (ADEA) 59, 60
Agnew, Spiro 227
Air Line Pilots 38
Alberta 92–93
Alexander v. Gardner-Denver Co. 47, 55–56, 59, 60
Allied-Bruce Terminimix Cos. v. Dobson 176
Alternative dispute resolution (ADR) 29, 46, 48, 50, 69–70
Amalgamated Transit Union Local 1374 92–93
American Airlines 38
American Arbitration Association (AAA) 4–6, 49, 56, 58, 61, 71, 104, 157
 caseload statistics 120
 future direction 117–25
American Economic Association 25
American Federation of Labor (AFL) 209, 211
American Federation of State, County and Municipal Employees (AFSCME) 31
Americans with Disabilities Act 46, 47, 50
Ames, James Barr 213
Anderson, Arvid 108
Appointing agencies 103–109
Arbitration
 caseload statistics 5
 of employment disputes (*see* Employment arbitration)
 of labor-management disputes (*see* Labor arbitration)
Arbitration & Mediation Management, Inc. 48
Arbitration agreements 55
 enforceability, and joinder of commercial and labor arbitration law 169–95
 enforceability, in employment contracts 59–61
Arbitration awards 102
 judicial review (*see* Judicial review)
 publication of 123–24
 timely issuance 115
Arbitration hearings
 Canada, expedited procedures 83–84, 90–92, 100–102
Arbitration Journal (AAA) 118
Arbitrators
 appointing agencies 103–109
 appointment of 82–83
 powers and duties 82, 83
 pro bono work 108–109
Archibald Cox: Conscience of a Nation (Gormley) 232
Associated Press v. NLRB 210
Association of Labor Mediation Agencies 109
Association of Labor Relations Agencies (ALRA) 103–109, 122
Association of State Labor Relations Agencies 109

- Association of State Mediation Agencies 109
 AT&T Corp. 32
AT&T Technologies v. Communication Workers 177, 179
 At-will employment 13, 127, 157, 165
 Australia 43
 Auto industry 114
 Auto Workers 20, 32, 38
- B**
- Back pay awards 127-28, 133, 141
 Baker, Howard 231
Baker v. Carr 223
 Barksdale, Rhessa Hawkins 153
 Barnes, Richard 4
 Barnett, George 25
 Beck Committee 7, 8, 66
 Bellagio Hotel 32
 Benavides, Fortunato P. 135, 136, 150
 Bethlehem Steel Co. 9
Between Management and Labor: Oral Histories of Arbitration (Friedman) 8
 Binding arbitration 20
 Blake, William 199
 Bork, Robert 232
 Bradley, Bill 9, 35
 Brewster Transportation & Tours 92-93
 Briefs 91, 100
 British Columbia
 expedited arbitration 80, 81, 83, 84, 87-93
 Brown, Doug 217
Bruce Hardwood Floors v. UBC, Southern Council of Industrial Workers Local 2713 133-37, 140, 142, 143, 149-50, 153, 162, 167
 Burton, Steven J. 138
- C**
- California 21, 32, 62, 70, 71
 Canada 103, 114
 expedited arbitration 80-102
 nonunion representation plans 28, 29
 Caraway, Janet 109
 Card-check agreements 32, 35
 Cardozo, Benjamin N. 201
 Case management centers 124-25
 Center for Litigation Alternatives, Inc. 48
Charles Dowd Box Co. v. Courtney 175
 Chesterton, G.K. 196
 Chrysler Corp. 35
 Churchill, Winston 216
 Civil Rights Act of 1964 223
 Title VII 50
 Civil Rights Act of 1991 46
 Civil rights movement 223
 Clarke, Jack 2, 110, 113
 Classification grievance arbitration 94-102
 Client relations 72-73
 Coal industry 215-16
Coastal Oil of New England v. Teamsters Local 25 A/W 190
 Code of Professional Responsibility for Arbitrators of Labor-Management Disputes
 advertising ban 71, 75
 employment arbitration 2, 66, 70, 73, 79
 Cole, David 215, 216, 218
 Collective Agreement Arbitration Bureau 83
 Collective bargaining 15
 future of, and implications for dispute resolution 11-51
 Collective bargaining agreements 193-94
 interpretation of, as review on the merits 137-41, 143, 146-48, 150-51
 post-expiration remedies 127-28, 133
 Collins, Doug 104, 112
 Colosi, Tom 123
 Columbia HCA 32
 Commerce Clause 176
 Commercial arbitration 59, 156
 joinder of labor arbitration law 169-95

- Commission on the Future of
Worker-Management
Relations (Dunlop) 28
- Common Cause 44
- The Common Law of the Workplace: The
Views of Arbitrators* (St.
Antoine, ed.) 67
- Commons, John R. 16, 23, 27
- Communications Workers 32
- Community colleges
Ontario, expedited
arbitration 94-102
- Competitive markets model 14, 18,
26
- Congress of Industrial Organizations
(CIO) 17, 209, 211
- Constitutional government in
industry 27, 29
- Construction industry 157, 214, 219
- Construction Industry Stabilization
Commission 214
- Container Products v. Steelworkers Local
5651* 141, 144
- Cooper, Isiah 130, 131
- Cooper, John Sherman 230
- Cooperative model of industrial
relations 14-15, 18, 26
- Cornell University 61
- Cox, Archibald 10
- Credibility of witnesses 196-207
- Cutler-Hammer doctrine 172
- D**
- Daimler-Benz Co. 32, 35
- Davis, John W. 222
- Davis, Will 210, 211
- Dean, John 226
- Dean Witter Reynolds v. Byrd* 179
- Delta Queen Steamboat Co. v. Marine
Engineers District 2* 141,
145-46, 151
- Demos (judge) 146
- Denaco, Parker 104
- Denize, Malcolm 215
- Depression, 1930s 17-18
- Discipline and discharge
arbitrator's modification of
penalty 161-63
carelessness 145-46
- lying, as immoral conduct
134-37, 139, 149-50, 154
- substance abuse 130-31, 150-51
- unsatisfactory performance
140-41, 144-48
- work assignment disputes 144
- Disclosure requirements 71-72, 79
- Dispute Resolution Journal* 124
- Disraeli, Benjamin 198, 204
- Dixon, Sheila 134-37, 139, 149
- Doctor's Associates v. Cassarotta* 176
- Douglas, William O. 170, 173, 187,
190, 191, 194
- Doyle, Jim 231
- Drug policy 130-31, 157-59,
162-63, 166
- notice requirements 137, 139-40,
143, 150-51
- Due process 27, 28, 101
- Due Process Protocol 66, 73, 75,
118-19, 124
- Dunlop, John T. 214, 217
- Dunlop Commission 28
- E**
- Eastern Airlines 43
- Edwards, Harry T. 143
- Edwards, Richard 28
- Eisenhower, Dwight 216, 217, 219
- Eliot, T.S. 9
- Elson, Alex 8
- Emarsen, Harold 215
- Emergency Boards 45
- Employee handbooks 28, 61
- Employee qualification
determinations 139,
146-48
- Employee representation
committees 28
- Employee stock option plans 26
- Employment arbitration 156
- government setting of minimum
standards 27-28, 49-50
- NAA jurisdiction (proposal)
52-79
- NAA role 1-10, 46-51
- union perspective 30, 39-40
- Employment-at-will 13, 127, 157,
165

- Employment Law Mediation Services 48
- Employment relationship 12-13, 35-36
- Enforcement of awards (*see* Judicial review)
- Equal Employment Opportunity Commission (EEOC) 114
- Ervin, Samuel 231
- Essence test 127-29, 132-43, 149-50, 181-83, 186, 188-91, 194-95
- Estricher, Samuel 141
- Europe 35
- Evidence
- Canada, expedited procedures 98
 - credibility of witnesses 196-207
 - Executone Info Sys. v. Davis* 142, 149
- Expedited arbitration
- Canadian experiences 80-102
 - Exxon Corp. v. Baton Rouge Oil & Chem. Workers Union* 158
- Eyre, Baron 198
- F**
- Facilitation (*see* Mediation)
- Factfinding 69, 131
- Fahy, Charlie 211, 212
- Fair Labor Standards Act 19, 212
- Family and Medical Leave Act 50
- Federal Arbitration Act (FAA) 59, 60, 127, 156
- joinder of labor arbitration law 169-95
 - Sec. 1, exempted contracts 193-94
- Federal Employees Compensation Act 140-41, 144-45
- Federal Mediation and Conciliation Service (FMCS) 11, 32, 49, 51, 71, 104, 122
- bureaucratic and procedural changes in 4, 110-16
 - case statistics 6, 56, 58
- Federal preemption 174-76
- Feller, David 7, 126
- Finality of awards (*see* Judicial review)
- Fireside chats (*see* Humor and reminiscences)
- First Options of Chicago v. Kaplan* 179
- Fleischli, George 3, 78, 112
- Fleischli Committee 3, 8-9, 78
- Foisy, Claude H. 196
- Ford Motor Co. 32
- Fortune* magazine 42
- Fourteenth Amendment 223
- Friedman, Clara 8
- Full employment 23, 28, 30, 38
- G**
- Gardner, John 44
- Garza, Emilio M. 135, 149, 153, 154
- Gates, Bill 34
- General Motors Corp. 20, 38
- Georgia 228
- Gershenfeld, Walter 6, 65, 69, 104, 112
- Giaccolone, Richard 111
- Gill, Lew 210
- Gilmer v. Interstate/Johnson Lane Corp.* 47, 59, 60, 65, 67
- Globalization of markets 23, 38
- Goldberg, Arthur 217, 218, 220, 224
- Gompers, Sam 43
- Goodwin, Dick 221
- Gore, Al 35
- Gormley, Ken 224, 232
- Gould, Bill 125
- Government regulation of industrial relations 15-16, 26, 39
- minimum standards for nonunion dispute resolution 27-28, 49-50
- Grievance mediation (*see* Mediation)
- Griffin, Robert 220
- H**
- Haas, Robert 37
- Hand, Learned 225
- Harkless, James M. 64
- Harley-Davidson Co. 36
- Harper, Michael 141
- Harvard Law School 213, 224

Hayford, Stephen 127
 Health care sector 21, 32
 British Columbia expedited
 arbitration 88, 91
 Healy, Jim 8
 Hearings (*see* Arbitration hearings)
 Heinsz, Timothy 126
 Helfert, David 111
 Holmes, Oliver Wendell 201, 202
 Hotel Employees and Restaurant
 Employees 32
Houston Lighting & Power Co. v.
Electrical Workers (IBEW)
Local 66 137, 139, 140,
 143, 146-48
 Human resource management
 14-15, 18, 22, 26
 Humor and reminiscences
 arbitrator careers 208-32

I

Ickes, Harold 225
 Immoral conduct 134-37, 139,
 149-50, 153-54
 Industrial relations models 13-16
 Industrial Relations Research
 Association 11
 Interior Department 114
 International Union of Electrical,
 Radio, and Machine
 Workers (IUE) 218
 Ives, Irving M. 218

J

Jackson, Andrew 227, 228
 JAMS/Endispute 48
 Japan 35
 Job classification arbitration
 94-102
 Johnson, Lyndon B. 219, 221-24
 Johnson (judge) 144
 Jones, Ted 126
 Jones & Laughlin Steel Co. 43
 Judicial Dispute Resolution, Inc.
 48
 Judicial review 126-68
 assignment of cases 152
 cases cited 144-51

commercial and labor arbitration
 standards compared
 169-95
 judicial perspectives 151-68
 labor arbitration standards
 126-41
 statistics 141-43, 154-55, 164-65

K

Kagel, John 3, 70
 Kennedy, John F. 217-22
 Kennedy, Robert F. 218
 Khrushchev, Nikita 223
 Killingsworth, Charles 139, 215, 216
 Kirstine, George 201
 Korean War 214
 Kuchel, Thomas Henry 219

L

Labor arbitration
 Canada, expedited
 procedures 80-102
 caseload statistics 6
 historical and legal
 developments 53-59
 joinder of commercial arbitration
 law 169-95
 judicial attitudes 163-64
 legacy and future 1-10
 Labor law development 213-14
 Labor law reform 23-25, 29, 35, 40
 Australia and New Zealand
 experience 43
 Labor-Management Relations Act
 (LMRA) 53, 219
 Sec. 301, enforcement of
 arbitration agreements 55,
 170-72, 174-78
 Labor Management Reporting and
 Disclosure Act (LMRDA)
 legislative history 217-20
 Laissez faire economics 14, 17, 18
 Landis, Jim 213
 Landrum, Phillip 220
 Landrum-Griffin Act (*see* Labor
 Management Reporting and
 Disclosure Act)
 Las Vegas 32

- Lawyers 70
 Canada, exclusion from expedited hearing 91-93, 101
 Lay (judge) 146
 Lazarus, Herman 215
 Leiserson, Avery 210
 Leslie, Mabel 109
 Lester, Dick 217
 Levi Strauss & Co. 37
 Lewis, John L. 211, 215, 216
 Lincoln, Abraham 228
 Lipsky, David 5
 Loftus, Joe 220
 Lorber, Jane 111
Los Angeles Times 231
 Lying
 credibility of witnesses 196-207
 grounds for discharge 134-37, 139, 149-50, 153-54
- M**
- Machinists 31-32, 36
 Madison, James 228
 Management rights 130, 139
 Manning, Claire 109
Marbury v. Madison 228
 Marshall, John 228
 Massachusetts 214
 Massachusetts Board of Conciliation and Arbitration 107
 Meany, George 210, 218
 Med-arb
 Canadian experience 86-87
 Mediation 69, 107
 Canadian experiences, 84-87
 growth 119-20
 Mediation, Inc. 48
 Merit System Protection Board 141
 Mine Workers 211
 Minnesota 114
 Minnesota Public Defenders 36
Mitsubishi Motors Corp. v. Soler Chrysler-Plymouth 178
 Moberly, Bob 108
Moses H. Cone Memorial Hospital v. Mercury Construction Corp. 178-79
 Murphy, Bill 4, 7
 Murphy, Charlie 221-22
- Murray, Philip 210
- N**
- National Academy of Arbitrators (NAA)
 employment arbitration jurisdiction (proposal) 52-79
 formation 53-54
 legacy and future 1-12, 25-27, 45-51, 74
 membership demographics 11, 20-21, 56-59, 63
 officers and committees 1999-2000 233
 survey 241
 National Academy of Labor and Employment Arbitrators (proposed) 2, 6, 7, 52-79
 National Arbitration and Mediation Co. 48
 National Association of Securities Dealers 75
 National Defense Mediation Board 208, 210, 215
 National Employment Lawyers Association 73
 National Industrial Recovery Act (NIRA) 18-19
 National Labor/Management Task Force 120, 124, 125
 National Labor Relations Act (NLRA) 17, 19, 21, 28, 210, 213, 219
 National Labor Relations Board (NLRB) 209-11, 214
 National Mediation Board 104
 Nelson, Nels 6, 104
 Neutrality 79
 New Deal 18
 Newhall, Christine 121
 New York State Employment Relations Board 106-108
 New Zealand 43
 Nicolau, George 1, 2, 6, 40-41, 64, 66
 Nixon, Richard 225-32
NLRB v. Jones & Laughlin Steel Corp. 210

- Nolan, Dennis 2-9, 43, 44, 112
 Nonunion arbitration (*see*
 Employment arbitration)
 Nonunion workplaces 22, 26-27
 North American Aviation 215
 Northwest Airlines 38
 No-strike agreements 55
 Notice requirement 137, 139-40,
 143, 150-51
- O**
- Occupational Safety and Health
 Administration 39
 Ontario
 expedited arbitration 80-84, 94-
 102
 Ontario Council of Regents for
 Colleges of Applied Arts
 and Technology
 (CAAT) 94-102
 Ontario Public Service Employees
 Union 94-95, 97-99
Operating Engineers Local 351 v. Cooper
 Natural Resources 137,
 139-40, 143, 150-51
 Opinions to awards 160-61
 Orwell, George 196
 Out of Court, Inc. 48
- P**
- Panel selection 105-106
 Paperworkers 36
Paperworkers v. Misco, Inc. 127,
 130-33, 137, 143, 148,
 157-58, 182-83, 185,
 188-89, 191, 195
 Past practice 133
 Perkins, Frances 212
Perry v. Thomas 176
 Phelps, Jim 139
 Picher, Michel 1, 5
 Picher Committee 1, 3, 5, 7, 61
 Plato 198
 Postal Service 42, 44, 140-41,
 144-45
 Preemption of state law 174-76
 Prehearing briefs 91, 100
 Presidential Emergency Boards 45
 Private Judges Inc. 48
 Probationary employees 140-41,
 144-45
 Pro bono arbitrators 108-109
 Professional Responsibility and
 Grievances Committee 79
 Public policy review standard
 129-32, 142, 158-59,
 165-67, 183, 186, 192
 Public sector arbitration 45
 Public sector bargaining 25
 Public sector unionism 42-44, 54
 Puerto Rico 32
 Putman, Roger 216
- R**
- Race discrimination 55, 223
 restrictive covenants 165-66
 Railroad Trainmen v. Central of Ga.
 Ry. 149
 Railway Labor Act 45
 Reapportionment 222-23
Red Cross Lines v. Atlantic Fruit
 Co. 172
 Reilly, Rick 120
 Reinhardt (judge) 158
 Reinstatement 127-28, 133, 141
 Reive, Eil 209
 Reno Air 38
 Research and Education Foundation,
 NAA 6
 Residency limitations 106
 Resolute Systems, Inc. 48
 Resolution Forum, Inc. 48
 Resolution Resources Corp. 48
 Restrictive covenants 165-66
 Richardson, Elliot 224-27,
 229-32
 Roosevelt, Franklin D. 18, 211, 222,
 228
 Ropes & Gray 208, 210, 212, 225
 Rosenbith, Walter 221
 Rostow, Walt 221
 Rubin, Milton 1
 Ruckelshaus, William 232
 Ruth, Henry 230
- S**
- Scalia, Antonin 47
 Scandinavia 25

- Scott, Austin 212-13
Self-Renewal: The Industrial and the Innovative Society
 (Gardner) 44
 Service Employees 31, 32
 Settlement officers 82, 84-85
 Seward, Ralph 9, 210
 Sherman, Lou 218
 Sinicropi, Anthony 6, 7, 65, 69, 79, 104
 Sirica, John J. 227-28, 230
 Sixth Amendment 204-205
 Smith (judge) 145
 Snow, Carlton 74
 Soboloff (judge) 223
 Social Darwinism 17
 Socialism 16, 26
 Social Security Act 19
 Society of Professionals in Dispute Resolution (SPIDR) 46
 Solicitor general 211-12, 222-24
 Sorenson, Ted 221
 South Carolina 228
Southland Corp. v. Keating 175, 176, 178
 Special Committee on Employment-Related Dispute Resolution (Picher) 1, 3, 5, 7, 61
 Special Committee on the Academy's Future (Fleischli) 3, 8-9, 78
 St. Antoine, Ted 3, 126
 Staff arbitrators 106-108
 Stark, Arthur 4, 112
 Stealing 162
 Steel industry 214-15
 Steelworkers 9, 31, 38, 218
Steelworkers Trilogy 4, 55, 126, 132-34, 143, 155-56, 169, 170, 172, 194, 195
Steelworkers v. American Mg. Co. 172, 177, 180
Steelworkers v. Enterprise Wheel & Car Corp. 126-29, 132-34, 137-39, 142, 148, 181-83, 185, 188, 191, 195
Steelworkers v. Warrior & Gulf Navigation Co. 133, 172, 177, 180
 Stennis, John 229
 Stewart (judge) 150
 Strikes 19, 38
 Strongin, Sy 9
 Substance abuse (*see* Drug policy)
 Substantive arbitrability 172, 174, 176-80
 Sunrise Hospital 32
 Syndicalism 16, 26
- T**
- Taft, Phil 217
 Taft-Hartley Act (*see* Labor-Management Relations Act)
 Talkin, Pam 109
 Taylor, George 210
 Teamsters 33, 36, 38
Teamsters Local 174 v. Lucas Flour Co. 175
 Testimony
 credibility of witnesses 196-207
 Textile mills 209-10
 Textile Workers 209
Textile Workers v. Lincoln Mills 4, 55, 155, 169-72, 174, 193-95
Time Present, Time Past: A Memoir (Bradley) 9
Torrington Co. v. Metal Prods. Workers Local 1654 133-34
 Traynham, Vella 111
 Troubleshooters 85, 88-90
 Truman, Harry 215, 216
 Twain, Mark 45, 198-200
- U**
- Uniform Arbitration Act (revised) 71
 Union of Needletrades, Industrial and Textile Employees 37
 Unions and unionism 15
 future assessment 21-29
 resurgence 30-41
 rise and decline 4, 16-21, 42-45, 54-55, 58
 Union shop 211
 United Airlines 31-32
 United Parcel Service 33
 United States Arbitration & Mediation Midwest 48

- United States Labor Court 48
U.S. Postal Service v. Postal Workers 140, 144-45
- V**
- Vacation of awards (*see* Judicial review) 33-34
 Venture stores 43
- W**
- Wage controls 214-17
 Wage Stabilization Board 214-15
 Wage stagnation 33-34
 Wagner, Robert 18
 Wagner Act (*see* National Labor Relations Act)
Wall Street Journal 35, 42
 War Labor Board 19, 54
 Washington Employment Relations Commission 106-107
 Watergate crisis 215, 224-32
 Wealth distribution 33-35
 Weil, David 39
 Weinberg, David 111, 112
 Weinberg, Will 104
 Weiner, Jacques L., Jr. 144
 Weinstock, Bonnie 104
 Weisblatt, Joel 104
 Welfare capitalism 18
 Wiener, Jacques L., Jr. 140
- Wiesner, Jerry 221
 Wildcat strikes 19
Wilko v. Swan 172, 173, 184
 Wilson, Woodrow 155
 Wirtz, Bill 218
 Wisconsin 108
 Wisconsin Employment Relations Commission 104, 106-108
 Witnesses 101
 credibility 196-207
 Witte, Edwin F. 1
 Wood, Robert 221
 Woolworth department stores 43
 Worker Adjustment and Retraining Notification Act of 1988 50
W.R. Grace & Co. v. Rubber Workers Local 759 130-31, 182, 183, 188, 190
 Wright, Charles 230
Wright v. Universal Maritime Service Corp. 47
 Wyzanski, Charlie 210, 211
- Y**
- Yaffe, Byron 108
- Z**
- Zaar-Cochran, Diane 109
 Zack, Arnold 6, 63, 66, 74-75, 118
 Zimmerman, Jackie 109

