Preliminary Considerations Bearing On the Selection of the International Arbitral Process

The distinctive characteristics of “international” disputes. Comparison of dispute resolution alternatives. Nonbinding processes based upon negotiation contrasted with binding, adjudicative processes: the relative advantages and disadvantages of each. Advantages and disadvantages of transnational litigation as a means of binding, adjudicative dispute resolution. General considerations pertaining to the choice of commercial arbitration as a dispute resolution technique: its advantages and disadvantages. Overview and characteristics of international commercial arbitration, including the severability of the arbitration agreement, the concept of party autonomy, the sources of law that can apply to an international commercial arbitration and an overview of the international commercial arbitral processes.

ASSIGNMENTS:

1. Coe, Chapter 1, Section 1.8

2. Coe, Chapter 2.
3. Coe, Chapter 3, Sections 3.1-3.8


5. The Xanadu Mock Scenario.

29 August TOPIC: The Five Stages of the International Arbitral Process.
   Stage I. The Making and Enforcement of the Arbitration Agreement

   A. The Making of the Arbitration Agreement. Considerations in the drafting of the arbitration agreement. Composition of the arbitral tribunal: selection of arbitrators, qualification and number. The law to be applied by the arbitrators. Conduct of the international arbitration. Arbitral rules and institutions. Ad hoc and institutional arbitration. Application of particular standards bearing on the agreement to arbitrate. The distinction between an arbitration agreement and a submission agreement. Basic elements of an arbitration agreement. Importance of choosing the place of arbitration. The law applicable to the arbitration agreement. Procedural and other matters bearing on the arbitration clause.

   Sources:
   2. “An Overview”, Tab 12 of supplemental materials notebook, Section III.

05 September No Class. HOLIDAY.

12 September The Making of the Arbitration Agreement, continued.

19 September New Topic:


**ASSIGNMENTS:**

1. Coe, Chapter 5, Sections 5.1-5.5

2. The New York Convention, Coe Appendix 42.


6. “An Overview”, Tab 12 of supplemental materials notebook, Sections II and IV.

**26 September** The Enforcement of the Arbitration Agreement, continued.

**03 October** Application of the Arbitration Agreement to Non-Signatories.

**ASSIGNMENTS:**


5. Motion for Stay Pending Arbitration, *Marathon Oil Co. et al v. Ruhrgas AG*


Items 1-5 are in the supplemental materials notebook at Tabs 1-5. Item 6, the Lin case, will be provided separately by Professor Sheppard.

**10 October  TOPIC:** Stage II of the International Arbitral Process:

The Selection and Appointment of the Arbitral Tribunal.

Party autonomy: the freedom of the parties to specify the number, qualifications and method of selecting the arbitrators. Number and qualifications of arbitrators. Direct appointment of arbitrators by the parties. The “list method” of selecting arbitrators. Selection of the chair of the tribunal. International arbitral institutions and appointing authorities. Administrative appointments of arbitrators. Ethical standards applicable to arbitrators. Neutral arbitrators (impartial and independent) versus “partisan” party-appointed arbitrators. Historical distinction between U.S. ethical standards and international ethical standards. Factors for consideration in the selection of international arbitrators. The interview with the prospective arbitrator. Communications with the arbitrators during the proceeding. Disclosures of interests and relationships by the arbitrators or prospective arbitrators. Removal and challenge of arbitrators.

**ASSIGNMENTS:**

1. Coe, Chapter 4, Section 4.13

2. “An Overview”, Tab 12 of supplemental materials notebook, Section V.


17 October TOPIC: The Selection and Appointment of the Arbitral Tribunal, continued

24 October NEW TOPIC: Stage III. Preliminary Proceedings, Including Procedural Orders and Interim Relief.


ASSIGNMENTS:

1. Coe, Chapter 4, Section 4.12

2. Coe, Chapter 9, Sections 9.1 – 9.9.

3. UNCITRAL Notes on Organizing Arbitral Proceedings, Coe Appendix 8.

4. LCIA Arbitration Rules, Articles 14-25.


31 October **TOPIC:** Preliminary Proceedings, continued.

07 November **TOPIC:** Stage IV. The Evidentiary Hearing on the Merits.

Oral testimony versus written witness statements and other documents. Renew discussion of the importance of cross-cultural differences in international arbitration. Civil law versus common law traditions and unique features of the American system. The role of the arbitral tribunal in the evidentiary hearing: adversarial or inquisitorial. The no-show witness. The use of expert witness, presented by the parties or appointed by the tribunal. The availability and function of cross-examination. Post-hearing submissions, including briefs and oral argument.

**ASSIGNMENTS:**


2. UNCITRAL Notes on Organizing Arbitral Proceedings, Coe Appendix 8.


14 November **NEW TOPIC:** Stage V. The Making and Enforcement of the Arbitral Award.

A. **The Making of the Arbitral Award.**

General considerations bearing on the award. Deliberations of the arbitral tribunal. Remedies included in final awards. Categories of awards. Validity of awards, including the form of the award, contents of the award and time limits. Other considerations bearing on the award, including *res judicata* effect, separate and dissenting opinions, interest, costs. Confidentiality (or not) of awards.

B. **Recognition and Enforcement of the Award.**
Application of the New York Convention. Procedure for filing a motion for recognition and enforcement of a foreign arbitral award. Grounds for non-recognition of foreign arbitral awards. Attacks on the arbitral award before the courts of the situs of the arbitration. The distinction between vacatur where the award was made and refusal to enforce a foreign award. Factors to consider in choosing the jurisdiction in which to file enforcement actions. Renewed comparison of the advantages of an international arbitral award versus a judgment of a national court.

ASSIGNMENTS:

1. Coe, Chapter 12.

2. LCIA Arbitration Rules 26-29.

3. The New York Convention, Articles III through VI, Coe Appendix 42.


21 November    The Making and Enforcement of the Award, continued.

28 November    The Making and Enforcement of the Award, continued.

12 December    6:00—8:00 P.M. -- FINAL EXAM—OPEN BOOK

You may bring your book, class notes and any other printed or written material.