

**City University of Hong Kong
Course Syllabus**

**offered by School of Law
with effect from Semester A in 2022 / 2023**

Part I Course Overview

Course Title:	<u>Dispute Resolution in Theory and Practice</u>
Course Code:	<u>LW6401</u>
Course Duration:	<u>One semester</u>
Credit Units:	<u>3</u>
Level:	<u>P6</u>
Medium of Instruction:	<u>English</u>
Medium of Assessment:	<u>English</u>
Prerequisites: <i>(Course Code and Title)</i>	<u>Nil</u>
Precursors: <i>(Course Code and Title)</i>	<u>Nil</u>
Equivalent Courses: <i>(Course Code and Title)</i>	<u>LW6126C, LW6126E and LW5526 are equivalent</u>
Exclusive Courses: <i>(Course Code and Title)</i>	<u>LW6526C, LW6526E Dispute Resolution in Theory and Practice</u>

Part II Course Details

1. Abstract (same as LW6126C/E and LW6526C/E Dispute Resolution in Theory and Practice)

This course aims to introduce the theory and practice of dispute resolution, and to examine the spectrum of dispute resolution processes in common law and civil law jurisdictions with particular emphasis on the following:

- Negotiation;
- Mediation;
- Early Neutral Evaluation;
- Expert determination;
- Adjudication;
- Dispute Review Board;
- Dispute Resolution Advisor;
- Arbitration
- Litigation

The course will further innovate a student's ability to grasp the fundamental concepts with the ultimate goal of discovering how the spectrum of dispute resolution processes are applied into actual practice.

LW6401 Dispute Resolution in Theory and Practice is a CIArb recognised course. Students who have successfully completed this course achieving at least 55% of the coursework and examination marks can be exempted from the CIArb module.

2. Course Intended Learning Outcomes (CILOs)

(same as LW6126C/E and LW6526C/E Dispute Resolution in Theory and Practice)

(CILOs state what the student is expected to be able to do at the end of the course according to a given standard of performance.)

No.	CILOs	Weighting (if applicable)	Discovery-enriched curriculum related learning outcomes (please tick where appropriate)		
			A1	A2	A3
1.	Apply the various dispute resolution methods in practice and to discover how effective such methods are used in the context of actual scenarios.	30%	✓	✓	✓
2.	Apply the techniques to various scenarios and to discover whether such techniques are effective.	40%	✓	✓	✓
3.	Analyse the techniques and where possible create/innovate workable solutions.	10%	✓	✓	✓
4.	Develop innovative systems to reduce disputes.	5%	✓	✓	
5.	Effectively manage disputes by understanding the dispute resolution concepts.	10%	✓		
6.	Assess the strategy to adopt and implement such strategy into actual scenarios.	5%	✓		
		100%			

- A1: *Attitude*
Develop an attitude of discovery/innovation/creativity, as demonstrated by students possessing a strong sense of curiosity, asking questions actively, challenging assumptions or engaging in inquiry together with teachers.
- A2: *Ability*
Develop the ability/skill needed to discover/innovate/create, as demonstrated by students possessing critical thinking skills to assess ideas, acquiring research skills, synthesizing knowledge across disciplines or applying academic knowledge to self-life problems.
- A3: *Accomplishments*
Demonstrate accomplishment of discovery/innovation/creativity through producing /constructing creative works/new artefacts, effective solutions to real-life problems or new processes.

3. Teaching and Learning Activities (TLAs)

(same as LW6126C/E and LW6526C/E Dispute Resolution in Theory and Practice)

(TLAs designed to facilitate students' achievement of the CILOs.)

TLA	Brief Description	CILO No.						Hours/week (if applicable)
		1	2	3	4	5	6	
Lectures	Face to face lectures	√	√	√	√	√	√	3
Tutorials	Group discussion	√	√	√	√	√	√	

4. Assessment Tasks/Activities (ATs)

(same as LW6126C/E and LW6526C/E Dispute Resolution in Theory and Practice)

(ATs are designed to assess how well the students achieve the CILOs.)

Assessment Tasks/Activities	CILO No.						Weighting	Remarks
	1	2	3	4	5	6		
Continuous Assessment: <u>50</u> %								
Coursework				√	√	√	50%	See below
Examination: <u>50</u> % (duration: 3 hours)								
							100%	

Applicable to students admitted in Semester A 2022/23 and thereafter

- (i) A student must obtain a minimum mark of 50% in both coursework and examination and an overall mark of 50% in order to pass a course.
- (ii) Students' coursework will focus on certain types of dispute resolution methods, while the examination will cover various types of dispute resolution learned in the course.

Applicable to students admitted before Semester A 2022/23

- (i) A student must obtain a minimum mark of 40% in both coursework and examination and an overall mark of 40% in order to pass a course.
- (ii) Students' coursework will focus on certain types of dispute resolution methods, while the examination will cover various types of dispute resolution learned in the course.

The HKSAR Government's Continuing Education Fund (CEF) recognizes the LLMArbDR programme both as a whole and as individual courses (i.e. LW5303, LW6401, LW6405, LW6406, LW6407). The minimum attendance requirement for all CEF courses is **70%**. For the purpose of claiming reimbursement of CEF course fee or the professional

recognition (i.e. CI Arb, CPD), please note that it is the students' own responsibility to attend every class and examination during the teaching and examination periods.

5. Assessment Rubrics (same as LW6126C/E and LW6526C/E Dispute Resolution in Theory and Practice)
 (Grading of student achievements is based on student performance in assessment tasks/activities with the following rubrics.)

Applicable to students admitted in Semester A 2022/23 and thereafter

Assessment Task	Criterion	Excellent (A+, A, A-)	Good (B+, B)	Marginal (B-, C+, C)	Failure (F)
1. Coursework	Demonstration of ability to identify issues, current trends and practices.	High	Significant	Moderate	Inadequate
2. Examination	Demonstration of ability to identify issues, current trends and practices.	High	Significant	Moderate	Inadequate

Applicable to students admitted before Semester A 2022/23

Assessment Task	Criterion	Excellent (A+, A, A-)	Good (B+, B, B-)	Fair (C+, C, C-)	Marginal (D)	Failure (F)
1. Coursework	Demonstration of ability to identify issues, current trends and practices.	Strong evidence of original thinking; good organization, capacity to analyse and synthesize; superior grasp of subject matter; evidence of extensive knowledge base.	Evidence of grasp of subject, some evidence of critical capacity and analytic ability; reasonable understanding of issues; evidence of familiarity with literature.	Student who is profiting from the university experience; understanding of the subject; ability to develop solutions to simple problems in the material.	Sufficient familiarity with the subject matter to enable the student to progress without repeating the course.	Little evidence of familiarity with the subject matter; weakness in critical and analytic skills; limited, or irrelevant use of literature.
2. Examination	Application of knowledge learnt to specific problems and issues.	Strong evidence of original thinking; good organization, capacity to analyse and synthesize; superior grasp of	Evidence of grasp of subject, some evidence of critical capacity and analytic ability; reasonable	Student who is profiting from the university experience; understanding of the subject; ability	Sufficient familiarity with the subject matter to enable the student to progress without repeating the course.	Little evidence of familiarity with the subject matter; weakness in critical and analytic skills; limited, or irrelevant

		subject matter; evidence of extensive knowledge base.	understanding of issues; evidence of familiarity with literature.	to develop solutions to simple problems in the material.		use of literature.
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Part III Other Information (more details can be provided separately in the teaching plan)

1. Keyword Syllabus

(same as LW6126C/E and LW6526C/E Dispute Resolution in Theory and Practice)

(An indication of the key topics of the course.)

Dispute Resolution — Theory and Practice; Negotiation; Mediation; Litigation; Arbitration — practice and procedure; Spectrum of Processes.

1.1 Detailed Syllabus

(same as LW6126C/E and LW6526C/E Dispute Resolution in Theory and Practice)

1. Introduction: Conflict theory

The sources, incidence, nature and cost of conflict in personal, intra- and inter-organizational disputes, with an emphasis on commercial disputes; the resolution of disputes in and out of the courts, the incidence of unresolved disputes; the importance of the cultural context.

2. Litigation

2.1 Generally, civil proceedings contrasted with criminal proceedings.

2.2 Pre-trial: commencing an action, limitation periods; pleadings, counterclaims and third party proceedings; interlocutory proceedings including applications to strike out, discovery and inspection, interrogatories, applications for further and better particulars, and payment into court.

2.3 Trial: order of proceedings; onus and burden of proof; inspection; rules of evidence.

2.4 Judgment: orders and remedies, including specific performance and injunctions; costs; interest; set-off; joint and several liability; enforcement procedures.

2.5 Appeals: procedures; hearing; stay of execution; judicial review.

2.6 Introduction to the special features of international litigation.

3. An introduction to arbitration

3.1 Arbitration agreement; legislation; appointment, powers and duties of the arbitrator; Hong Kong International Arbitration Centre and other appointing bodies.

3.2 Pre-hearing procedures – Appointing an Arbitral Tribunal, The Arbitral Tribunal: Independence and Impartiality, The Arbitral Tribunal: Jurisdiction, Powers and Duties,

3.3 Hearings and documents-only proceedings.

3.4 The award: remedies, costs, interest/currency and its enforcement.

3.5 Appeals, and other judicial involvement (role of state courts).

4. Alternative or additional dispute resolution

An introduction to the important processes and techniques of ADR, especially negotiation and

mediation or conciliation, but including some reference to other traditional models and more contemporary models, including: expert determination, valuation, fact finding, med-arb, mini trial, neutral expert, court-annexed processes, settlement days or weeks, the multi-door facility, the neighbourhood centre.

5. An overview

A model for evaluating the range of processes and the criteria: public and party costs, access and delay, party participation and autonomy, quality of results, cultural, social and other policy values.

Civil dispute resolution processes as a spectrum, ranging from formal litigation at one extreme, to arbitration, mediation and other forms of alternative dispute resolution which are located along the spectrum, and extending to informal negotiation at the other extreme; a taxonomy of dispute resolution methods.

6. An introduction to dispute resolution theory and practice in common law and civil law jurisdictions

An analysis of the rules for mediation and arbitration practised in common law and civil law jurisdictions with particular reference to the rules and procedures of CIETAC, HKIAC, LCIA and ICC.

A comparison of rules for mediation and arbitration in common law and civil law jurisdictions and those of dispute resolution institutions in other jurisdictions.

2. Reading List

2.1 Compulsory Readings

(Compulsory readings can include books, book chapters, or journal/magazine articles. There are also collections of e-books, e-journals available from the CityU Library.)

Nil

2.2 Essential Reading

(Additional references for students to learn to expand their knowledge about the subject.)

1.	Mediation in Hong Kong – Law and Practice, July 2014, ISBN 9789881221629
2.	Redfern and Hunter on International Arbitration, 6 th Edition, February 2020, ISBN 100198714254

2.3 Recommended Reading

(same as LW6126C/E and LW6526C/E Dispute Resolution in Theory and Practice)

1.	Arbitration in Hong Kong – A Practical Guide Second Edition, Thomson Sweet and Maxwell Asia, June 2017, ISBN 9789626619445
2.	Arbitration Law Hand Book, Butterworths Hong Kong, May 2012, ISBN 9789888146383
3.	The Hong Kong Arbitration Ordinance – Commentary and Annotations – Sweet and Maxwell, September 2015, ISBN 9789626617465
4.	The Arbitration Ordinance of Hong Kong – A Commentary – Second Edition –

	Butterworths
5.	International Commercial Arbitration – An Asia-Pacific Perspective – Cambridge, 2011, ISBN 9780521695701
6.	Construction Law and Practice in Hong Kong – Second Edition – Sweet and Maxwell, October 2013, ISBN 9789626615546
7.	Arbitration in China; A Legal and Cultural Analysis; Hart Publishing, 2013, ISBN 9781849463775
8.	Hong Kong Mediation Handbook – Sweet and Maxwell, 2009, ISBN 9626613769
9.	Civil Procedure in Hong Kong: A Guide to the Main Principles, 3 rd edition, August 2014
10.	Freshfields Guide to Arbitration and ADR, 1999, ISBN 9789041134004
11.	Civil Litigation in Hong Kong , 2017, ISBN 9789626614952
12.	Halsbury’s Laws of Hong Kong, Volume 2, Second Edition 2012, ISBN 9789888111688
13.	The Essentials of Negotiation, Harvard Business School Press 2005, ISBN 1-59139-574-7
14.	Principles and Practice of Civil Procedure in Hong Kong, Sweet and Maxwell, 2008
15.	Resolving Disputes in the Asia- Pacific Region, Routledge, 2010
16.	Mediation Asia-Pacific- A Practical Guide to Mediation and its Impact on Legal Systems, Wolters Kluwer, 2013
17.	Hong Kong Annotated Statutes – Mediation Ordinance (CAP.620), Wolters Kluwer, 2013
18.	Hong Kong Arbitration – A User’s Guide, Wolters Kluwer, 2014
19.	Legal Discourse across Cultures and Systems, Hong Kong University Press, 2008
20.	Hong Kong Legal Principles, Second Edition, Hong Kong University Press, 2013
21.	Construction Arbitration in Hong Kong: A Practical Guide, Wolters Kluwer, April 2015, ISBN 9789881342928
22.	Butterworths Hong Kong Alternative Dispute Resolution Law Handbook, LexisNexis, December 2014, ISBN 9789888300112
23.	A Guide to Civil Procedure in Hong Kong, Fifth Edition, December 2014, LexisNexis, ISBN 9789888300242

2.4 Online Resources

(Additional references for students to learn to expand their knowledge about the subject.)

1.	www.hkiac.org
2.	www.adr.org
3.	www.cedr.co.uk
4.	www.jamsadr.com
5.	www.odr.info
6.	www.arbitrators.org
7.	www.hklawsoc.org.hk
8.	www.hkba.org
9.	www.hkmaal.org
10.	www.ciarb.org
11.	www.ciarbasia.org
12.	www.cietac.org
13.	www.iccwbo.org
14.	www.lcia.org
15.	www.hkiarb.org

16.	www.aprag.org
17.	www.judiciary.gov.hk
18.	www.info.gov.hk/justice