DRAFT

FOR DISCUSSION ONLY

UNIFORM COLLABORATIVE LAW COURT RULES

<u>or</u>

UNIFORM COLLABORATIVE LAW ACT

NATIONAL CONFERENCE OF COMMISSIONERS

ON UNIFORM STATE LAWS

Draft of Proposed Amendments to Uniform Collaborative Law Act, April 2010

Without Prefatory Note but With Proposed Additional Comments Changes Shown in Underscore

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• Professor Schepard thanks Yishai Boyarin, Hofstra Law School LL.M 2009, Elizabeth Bruzzo and Rebecca Miller, Hofstra Law School J.D. 2007, Laura Daly, Hofstra Law School J.D. 2008, Angela Burton, Jesse Lubin, Joshua Reiger, and Brittany Shrader, Hofstra Law School J.D. 2009, and Mary Ann Harvey, Ashley Lorance, Beyza Killeen, Jessie Fillingim,Hofstra Law School class of 2010, and Stephanie Conti, Hofstra Law School class of 2011 for their invaluable research assistance.

UNIFORM COLLABORATIVE LAW COURT RULES

OR

UNIFORM COLLABORATIVE LAW ACT

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1	Note for enacting states: The provisions for regulation of collaborative law are presented in
2	two formats for enactment- by court rules or legislation. The substantive provisions of each
3	format are identical with the exception of several standard form clauses typically found in
4	legislation. Each state considering adopting the Uniform Collaborative Law Court Rules
5	(UCLR) or the Uniform Collaborative Law Act (UCLA) should review its practices and
6	precedent to first determine whether the substantive provisions are best adopted by court rule or
7	statute. The decision may vary from state to state depending on the allocation of authority
8	between the legislature and the judiciary for regulation of contracts, alternative dispute
9	resolution and the legal profession. States may also decide to enact part of the substantive
10	provisions by court rule and part by legislation. Specific comments following some particular
11	rules or sections indicate whether the drafting committee believes enactment by court rule or
12	legislation is preferable. Drafting agencies may need to renumber sections and cross references
13	depending on their decision concerning the appropriate method of enactment.
14 15 16	UNIFORM COLLABORATIVE LAW COURT RULES
10 17	RULE 1. SHORT TITLE. These rules may be cited as the Uniform Collaborative Law
18	Court Rules.
19	RULE 2. DEFINITIONS. In these rules:
20	(1) "Collaborative law communication" means a statement, whether oral or in a record, or
21	verbal or nonverbal, that:
22	(A) is made to conduct, participate in, continue, or reconvene a collaborative law
23	process; and
24	(B) occurs after the parties sign a collaborative law participation agreement and
25	before the collaborative law process is concluded.
26	(2) "Collaborative law participation agreement" means an agreement by persons to
27	participate in a collaborative law process.
28	(3) "Collaborative law process" means a procedure intended to resolve a collaborative
29	matter without intervention by a tribunal in which persons:
30	(A) sign a collaborative law participation agreement; and
31	(B) are represented by collaborative lawyers.
32	(4) "Collaborative lawyer" means a lawyer who represents a party in a collaborative law

1 process.

2	(5) "Collaborative matter" means a dispute, transaction, claim, problem, or issue for
3	resolution including a dispute, claim, or issue in a proceeding which:
4	<u>Alternative A</u>
5	is described in a collaborative law participation agreement and arises under the family or
6	domestic relations law of this state, including but not limited to: marriage, divorce, annulment,
7	and property distribution; child custody, visitation and parenting time: alimony or maintenance
8	and child support; adoption; parentage; marital, post marital or premarital agreements; and
9	guardianship of minors or disabled persons.
10	<u>Alternative B</u>
11	is described in a collaborative law participation agreement.
12	End of Alternatives
13 14	(6) "Law firm" means:
15	(A) lawyers who practice law together in a partnership, professional corporation,
16	sole proprietorship, limited liability company, or association; and
17	(B) lawyers employed in a legal services organization, or the legal department of
18	a corporation or other organization, or the legal department of a government or governmental
19	subdivision, agency, or instrumentality.
20	(7) "Nonparty participant" means a person, other than a party and the party's
21	collaborative lawyer, that participates in a collaborative law process.
22	(8) "Party" means a person that signs a collaborative law participation agreement and
23	whose consent is necessary to resolve a collaborative matter.
24	(9) "Person" means an individual, corporation, business trust, estate, trust, partnership,
25	limited liability company, association, joint venture, public corporation, government or

1	governmental subdivision, agency, or instrumentality, or any other legal or commercial entity.
2	(10) "Proceeding" means:
3	(A) a judicial, administrative, arbitral, or other adjudicative process before a
4	tribunal, including related prehearing and post-hearing motions, conferences, and discovery; or
5	(B) a legislative hearing or similar process.
6	(11) "Prospective party" means a person that discusses with a prospective collaborative
7	lawyer the possibility of signing a collaborative law participation agreement.
8	(12) "Record" means information that is inscribed on a tangible medium or that is stored
9	in an electronic or other medium and is retrievable in perceivable form.
10	(13) "Related to a collaborative matter" means involving the same parties, transaction or
11	occurrence, nucleus of operative fact, dispute, claim, or issue as the collaborative matter.
12	(14) "Sign" means, with present intent to authenticate or adopt a record:
13	(A) to execute or adopt a tangible symbol; or
14	(B) to attach to or logically associate with the record an electronic symbol, sound,
15	or process.
16	(15) "Tribunal" means
17	(A) a court, arbitrator, administrative agency, or other body acting in an
18	adjudicative capacity which, after presentation of evidence or legal argument, has jurisdiction to
19	render a decision affecting a party's interests in a matter; or
20	(B) a legislative body conducting a hearing or similar process.
21 22	Comment
23	
24	"Collaborative matter." The act uses the term "matter" rather the narrower term
25	"dispute" to describe what the parties may attempt to resolve through a collaborative law
26	process. Matter can include some or all of the issues in litigation or potential litigation, or can
27	include issues between the parties that have not or may never ripen into litigation. The broader
28	term emphasizes that parties have great autonomy to decide what to submit to a collaborative law
29	process and encourages them to use the process creatively and broadly.

1	
2	The drafting committee provides two alternatives for enacting states to define
3	"collaborative matter" and thus the scope of matters that can be submitted to the collaborative
4	law process. Alternative A limits "collaborative matter" to those which arise under the family or
5	domestic relations law of a state. States which choose to include this language will thus limit the
6	collaborative law process to those substantive areas where it has so far achieved the greatest
7	acceptance and growth and in which collaborative lawyers have the greatest experience. They
8	will, however, exclude matters which do not arise under the family or domestic relations law of
9	a state from the collaborative law process.
10	
11	Alternative B, in contrast, places no substantive limitation on matters that can be
12	submitted to a collaborative law process, relying instead on the informed consent of parties based
13	on the information provided by their counsel under the standards for informed consent specified
14	in rules 12 and 13. Under Alternative B collaborative law participation agreements can be
15	entered into to attempt to resolve everything from contractor-subcontractor disagreements, estate
16	disputes, employer-employee rights, statutory based claims, customer-vendor disagreements, or
17	any other matter.
18	
19	Under either Alternative A or B, the parties must describe the matter that they seek to
20	resolve through a collaborative law process in their collaborative law participation agreement.
21	See Rule 4(a)(4). That requirement is essential to determining the scope of the disqualification
22	requirement for collaborative lawyers under rule 9, which is applicable to the collaborative
23	matter and matters "related to the collaborative matter," and the application of the evidentiary
24	privilege under rule 17.
25	
26	RULE 3. APPLICABILITY. These rules apply to a collaborative law participation
27	agreement that meets the requirements of Rule 4 signed [on or] after [the effective date of the
28	rules].
29	RULE 4. COLLABORATIVE LAW PARTICIPATION AGREEMENT;
30	REQUIREMENTS.
31	(a) A collaborative law participation agreement must:
32	(1) be in a record;
33	(2) be signed by the parties;
34	(3) state the parties' intention to resolve a collaborative matter through a
35	collaborative law process under these rules;
36	(4) describe the nature and scope of the matter;

1	(5) identify the collaborative lawyer who represents each party in the process; and
2	(6) contain a statement by each collaborative lawyer confirming the lawyer's
3	representation of a party in the collaborative law process.
4	(b) Parties may agree to include in a collaborative law participation agreement additional
5	provisions not inconsistent with these rules.
6	RULE 5. BEGINNING AND CONCLUDING A COLLABORATIVE LAW
7	PROCESS.
8	(a) A collaborative law process begins when the parties sign a collaborative law
9	participation agreement.
10	(b) A tribunal may not order a party to participate in a collaborative law process over that
11	party's objection.
12	(c) A collaborative law process is concluded by a:
13	(1) resolution of a collaborative matter as evidenced by a signed record;
14	(2) resolution of a part of the collaborative matter, evidenced by a signed record,
15	in which the parties agree that the remaining parts of the matter will not be resolved in the
16	process; or
17	(3) termination of the process.
18	(d) A collaborative law process terminates:
19	(1) when a party gives notice to other parties in a record that the process is ended;
20	or
21	(2) when a party:
22	(A) begins a proceeding related to a collaborative matter without the
23	agreement of all parties; or
24	(B) in a pending proceeding related to the matter:

1	(i) initiates a pleading, motion, order to show cause, or request for
2	a conference with the tribunal;
3	(ii) requests that the proceeding be put on the [tribunal's active
4	calendar]; or
5	(iii) takes similar action requiring notice to be sent to the parties; or
6	(3) except as otherwise provided by subsection (g), when a party discharges a
7	collaborative lawyer or a collaborative lawyer withdraws from further representation of a party.
8	(e) A party's collaborative lawyer shall give prompt notice to all other parties in a record
9	of a discharge or withdrawal.
10	(f) A party may terminate a collaborative law process with or without cause.
11	(g) Notwithstanding the discharge or withdrawal of a collaborative lawyer, a
12	collaborative law process continues, if not later than 30 days after the date that the notice of the
13	discharge or withdrawal of a collaborative lawyer required by subsection (e) is sent to the
14	parties:
15	(1) the unrepresented party engages a successor collaborative lawyer; and
16	(2) in a signed record:
17	(A) the parties consent to continue the process by reaffirming the
18	collaborative law participation agreement;
19	(B) the agreement is amended to identify the successor collaborative
20	lawyer; and
21	(C) the successor collaborative lawyer confirms the lawyer's
22	representation of a party in the collaborative process.
23	(h) A collaborative law process does not conclude if, with the consent of the parties, a
24	party requests a tribunal to approve a resolution of the collaborative matter or any part thereof as

1 evidenced by a signed record.

- 2 (i) A collaborative law participation agreement may provide additional methods of
 3 concluding a collaborative law process.
- 4

RULE 6. PROCEEDINGS PENDING BEFORE TRIBUNAL; STATUS REPORT.

(a) Persons in a proceeding pending before a tribunal may sign a collaborative law
participation agreement to seek to resolve a collaborative matter related to the proceeding.
Parties shall file promptly with the tribunal a notice of the agreement after it is signed. Subject to
subsection (c) and Rules 7 and 8, the filing operates as <u>an application for a stay of the</u>

9 proceeding.

(b) Parties shall file promptly with the tribunal notice in a record when a collaborative
law process concludes. The stay of the proceeding under subsection (a) is lifted when the notice
is filed. The notice may not specify any reason for termination of the process.

(c) A tribunal in which a proceeding is stayed under subsection (a) may require parties and collaborative lawyers to provide a status report on the collaborative law process and the proceeding. A status report may include only information on whether the process is ongoing or concluded. It may not include a report, assessment, evaluation, recommendation, finding, or other communication regarding a collaborative law process or collaborative law matter.

18 (d) A tribunal may not consider a communication made in violation of subsection (c).

19 (e) A tribunal shall provide parties notice and an opportunity to be heard before

20 dismissing a proceeding in which a notice of collaborative process is filed based on delay or

21 failure to prosecute.

22

Comment

<u>Rule 6 regulates the relationship between the collaborative law process and the judicial</u>
 process. The drafting committee thus believes rule 6 might best be enacted by judicial rule rather
 <u>than legislation.</u>

1 2 3 4 5 6 7 8 9 10 11	This rule authorizes parties to enter into a collaborative law participation agreement to attempt to resolve matters in pending proceedings, a subject discussed in the Prefatory Note. <i>See supra</i> . To give the collaborative law process time and breathing space to operate, it creates an application for a stay of proceedings_ upon the filing of a collaborative law participation agreement. The stay should normally be granted from the time the tribunal receives written notice that the parties have executed a collaborative law participation agreement until it receives written notice that the collaborative law process is concluded. The stay of proceedings is qualified by rule 7, which authorizes a tribunal to issue emergency orders notwithstanding the stay and rule 8, which authorizes a tribunal to approve an agreement resulting from a collaborative law process.
12	RULE 7. EMERGENCY ORDER. During a collaborative law process, a tribunal may
13	issue emergency orders to protect the health, safety, welfare, or interest of a party or [insert term
14	for family or household member as defined in [state civil protection order statute]].
15	Comment
16	
17	Rule 7 regulates the relationship between the collaborative law process and the judicial
18	process. The drafting committee thus believe that rule 7 might best be enacted by judicial rule
19	rather than legislation.
20	
21	
22	RULE 8. APPROVAL OF AGREEMENT BY TRIBUNAL. A tribunal may approve
23	an agreement resulting from a collaborative law process.
24	Comment
25	
26	Rule 8 regulates the relationship between the collaborative law process and the judicial
27	process. The drafting committee thus believes that rule 8 might best be enacted by judicial rule
28	rather than legislation.
29	
30	RULE 9. DISQUALIFICATION OF COLLABORATIVE LAWYER AND
31	LAWYERS IN ASSOCIATED LAW FIRM.
32	(a) Except as otherwise provided in subsection (c), a collaborative lawyer is disqualified
33	from appearing before a tribunal to represent a party in a proceeding related to the collaborative
34	matter.
35	(b) Except as otherwise provided in subsection (c) and Rule 10 and 11, a lawyer in a law
36	firm with which the collaborative lawyer is associated is disqualified from appearing before a
	8

1	tribunal to represent a party in a proceeding related to the collaborative matter if the
2	collaborative lawyer is disqualified from doing so under subsection (a).
3	(c) A collaborative lawyer or a lawyer in a law firm with which the collaborative lawyer
4	is associated may represent a party:
5	(1) to ask a tribunal to approve an agreement resulting from the collaborative law
6	process; or
7	(2) to seek or defend an emergency order to protect the health, safety, welfare, or
8	interest of a party, or [insert term for family or household member as defined in [state civil
9	protection order statute]] if a successor lawyer is not immediately available to represent that
10	person. In that event, subsections (a) and (b) apply when the party, or [insert term for family or
11	household member] is represented by a successor lawyer or reasonable measures are taken to
12	protect the health, safety, welfare, or interest of that person.
13	Comment
	Comment
14	
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14 15 16 17 18 19 20 21 22 23 24	Rule 9 regulates who can appear before a court (tribunal) to represent a party after a collaborative law process terminates. The drafting committee thus believes that rule 9 might best be enacted by judicial rule rather than legislation. RULE 10. LOW INCOME PARTIES. (a) The disqualification of Rule 9(a) applies to a collaborative lawyer representing a party with or without fee. (b) After a collaborative law process concludes, another lawyer in a law firm with which
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1	(3) the collaborative lawyer is isolated from any participation in the collaborative
2	matter or a matter related to the collaborative matter through procedures within the law firm
3	which are reasonably calculated to isolate the collaborative lawyer from such participation.
4 5 6 7 8 9 10 11	Comment <u>Rule 10 regulates who can appear before a court (tribunal) to represent a party after a</u> <u>collaborative law process terminates. The drafting committee thus believes that rule 10 might</u> <u>best be enacted by judicial rule rather than legislation.</u> RULE 11. GOVERNMENTAL ENTITY AS PARTY.
12	(a) The disqualification of Rule 9(a) applies to a collaborative lawyer representing a party
13	that is a government or governmental subdivision, agency, or instrumentality.
14	(b) After a collaborative law process concludes, another lawyer in a law firm with which
15	the collaborative lawyer is associated may represent a government or governmental subdivision,
16	agency, or instrumentality in the collaborative matter or a matter related to the collaborative
17	matter if:
18	(1) the collaborative law participation agreement so provides; and
19	(2) the collaborative lawyer is isolated from any participation in the collaborative
20	matter or a matter related to the collaborative matter through procedures within the law firm
21	which are reasonably calculated to isolate the collaborative lawyer from such participation.
22 23 24 25 26 27 28	Comment Rule 11 regulates who can appear before a court (tribunal) to represent a party after a collaborative law process terminates. The drafting committee thus believes that rule 11 might best be enacted by judicial rule rather than legislation. RULE 12. DISCLOSURE OF INFORMATION. Except as provided by law other
29	than these rules, during the collaborative law process, on the request of another party, a party
30	shall make timely, full, candid, and informal disclosure of information related to the
31	collaborative matter without formal discovery. A party also shall update promptly previously 10

1	disclosed information that has materially changed. Parties may define the scope of disclosure
2	during the collaborative law process.
3	RULE 13. STANDARDS OF PROFESSIONAL RESPONSIBILITY AND
4	MANDATORY REPORTING NOT AFFECTED. These rules do not affect:
5	(1) the professional responsibility obligations and standards applicable to a lawyer or
6	other licensed professional; or
7	(2) the obligation of a person to report abuse or neglect, abandonment, or exploitation of
8	a child or adult under the law of this state.
9	RULE 14. APPROPRIATENESS OF COLLABORATIVE LAW PROCESS.
10	Before a prospective party signs a collaborative law participation agreement, a prospective
11	collaborative lawyer shall:
12	(1) assess with the prospective party factors the lawyer reasonably believes relate to
13	whether a collaborative law process is appropriate for the prospective party's matter;
14	(2) provide the prospective party with information that the lawyer reasonably believes is
15	sufficient for the party to make an informed decision about the material benefits and risks of a
16	collaborative law process as compared to the material benefits and risks of other reasonably
17	available alternatives for resolving the proposed collaborative matter, such as litigation,
18	mediation, arbitration, or expert evaluation; and
19	(3) advise the prospective party that:
20	(A) after signing an agreement if a party initiates a proceeding or seeks tribunal
21	intervention in a pending proceeding related to the collaborative matter, the collaborative law
22	process terminates;
23	(B) participation in a collaborative law process is voluntary and any party has the
24	right to terminate unilaterally a collaborative law process with or without cause; and

1	(C) the collaborative lawyer and any lawyer in a law firm with which the
2	collaborative lawyer is associated may not appear before a tribunal to represent a party in a
3	proceeding related to the collaborative matter, except as authorized by rule 9(c), 10(b), or 11(b).
4	RULE 15. COERCIVE OR VIOLENT RELATIONSHIP.
5	(a) Before a prospective party signs a collaborative law participation agreement, a
6	prospective collaborative lawyer must make reasonable inquiry whether the prospective party
7	has a history of a coercive or violent relationship with another prospective party.
8	(b) Throughout a collaborative law process, a collaborative lawyer reasonably and
9	continuously shall assess whether the party the collaborative lawyer represents has a history of a
10	coercive or violent relationship with another party.
11	(c) If a collaborative lawyer reasonably believes that the party the lawyer represents or
12	the prospective party who consults the lawyer has a history of a coercive or violent relationship
13	with another party or prospective party, the lawyer may not begin or continue a collaborative law
14	process unless:
15	(1) the party or the prospective party requests beginning or continuing a process;
16	and
17	(2) the collaborative lawyer reasonably believes that the safety of the party or
18	prospective party can be protected adequately during a process.
19	RULE 16. CONFIDENTIALITY OF COLLABORATIVE LAW
20	COMMUNICATION. A collaborative law communication is confidential to the extent agreed
21	by the parties in a signed record or as provided by law of this state other than these rules.
22	RULE 17. PRIVILEGE AGAINST DISCLOSURE FOR COLLABORATIVE
23	LAW COMMUNICATION; ADMISSIBILITY; DISCOVERY.
24	(a) Subject to Rules 18 and 19, a collaborative law communication is privileged under

1	subsection (b), is not subject to discovery, and is not admissible in evidence.
2	(b) In a proceeding, the following privileges apply:
3	(1) A party may refuse to disclose, and may prevent any other person from
4	disclosing, a collaborative law communication.
5	(2) A nonparty participant may refuse to disclose, and may prevent any other
6	person from disclosing, a collaborative law communication of the nonparty participant.
7	(c) Evidence or information that is otherwise admissible or subject to discovery does not
8	become inadmissible or protected from discovery solely because of its disclosure or use in a
9	collaborative law process.
10	Comment
11 12 13 14 15 16 17 18 19	In many states legislation is required to create a privileged communication. While the earliest recognized privileges were judicially created, this practice stopped over a century ago. See KENNETH S. BROUN ET AL., MCCORMICK ON EVIDENCE § 75 (6th ed. 2006). Today, evidentiary privileges are rooted within legislative action; some state legislatures have even passed statutes which bar court-created privileges. See, e.g., CAL. EVID. CODE § 911 (West 2009); WIS. STAT. ANN. § 905.01 (West 2000). The drafting committee thus recommends that rule 17 might best be enacted by legislation.
20	RULE 18. WAIVER AND PRECLUSION OF PRIVILEGE.
21	(a) A privilege under Rule 17 may be waived in a record or orally during a proceeding if
22	it is expressly waived by all parties and, in the case of the privilege of a nonparty participant, it is
23	also expressly waived by the nonparty participant.
24	(b) A person that makes a disclosure or representation about a collaborative law
25	communication which prejudices another person in a proceeding may not assert a privilege under
26	Rule 17, but this preclusion applies only to the extent necessary for the person prejudiced to
27	respond to the disclosure or representation.
28	Comment
29	The drafting committee recommends that rule 18 might best be enacted by legislation.See

comment	to	rule	17	su	pra.

3 **RULE 19. LIMITS OF PRIVILEGE.** 4 (a) There is no privilege under Rule 17 for a collaborative law communication that is: 5 (1) available to the public under [state open records act] or made during a session 6 of a collaborative law process that is open, or is required by law to be open, to the public; 7 (2) a threat or statement of a plan to inflict bodily injury or commit a crime of 8 violence; 9 (3) intentionally used to plan a crime, commit or attempt to commit a crime, or 10 conceal an ongoing crime or ongoing criminal activity; or 11 (4) in an agreement resulting from the collaborative law process, evidenced by a 12 record signed by all parties to the agreement. 13 (b) The privileges under Rule 17 for a collaborative law communication do not apply to 14 the extent that a communication is: 15 (1) sought or offered to prove or disprove a claim or complaint of professional 16 misconduct or malpractice arising from or related to a collaborative law process; or 17 (2) sought or offered to prove or disprove abuse, neglect, abandonment, or 18 exploitation of a child or adult, unless the [child protective services agency or adult protective 19 services agency] is a party to or otherwise participates in the process. 20 (c) There is no privilege under Rule 17 if a tribunal finds, after a hearing in camera, that 21 the party seeking discovery or the proponent of the evidence has shown the evidence is not 22 otherwise available, the need for the evidence substantially outweighs the interest in protecting 23 confidentiality, and the collaborative law communication is sought or offered in: 24 (1) a court proceeding involving a felony [or misdemeanor]; or 25 (2) a proceeding seeking rescission or reformation of a contract arising out of the

1 collaborative law process or in which a defense to avoid liability on the contract is asserted. 2 (d) If a collaborative law communication is subject to an exception under subsection (b) 3 or (c), only the part of the communication necessary for the application of the exception may be 4 disclosed or admitted. 5 (e) Disclosure or admission of evidence excepted from the privilege under subsection (b) 6 or (c) does not make the evidence or any other collaborative law communication discoverable or 7 admissible for any other purpose. 8 (f) The privileges under Rule 17 do not apply if the parties agree in advance in a signed 9 record, or if a record of a proceeding reflects agreement by the parties, that all or part of a 10 collaborative law process is not privileged. This subsection does not apply to a collaborative law 11 communication made by a person that did not receive actual notice of the agreement before the 12 communication was made. Comment 13 14 15 The drafting committee recommends that rule 19 might best be enacted by legislation. See comment to rule 17 supra. 16 17 18 **RULE 20. AUTHORITY OF TRIBUNAL IN CASE OF NONCOMPLIANCE.** 19 (a) If an agreement fails to meet the requirements of Rule 4, or a lawyer fails to comply 20 with Rule 14 or 15, a tribunal may nonetheless find that the parties intended to enter into a 21 collaborative law participation agreement if they: 22 (1) signed a record indicating an intention to enter into a collaborative law 23 participation agreement; and 24 (2) reasonably believed they were participating in a collaborative law process. 25 (b) If a tribunal makes the findings specified in subsection (a), and the interests of justice 26 require, the tribunal may:

1	(1) enforce an agreement evidenced by a record resulting from the process in
2	which the parties participated;
3	(2) apply the disqualification provisions of Rules 5, 6, 9, 10, and 11; and
4	(3) apply the privileges under Rule 17.
5	RULE 21. EFFECTIVE DATE. These rules takes effect
6	Comment
7 8	States should choose an effective date for the rules that allows substantial time for notice
8 9	to the bar and the public of its provisions and for the training of collaborative lawyers.
10	

1	Note for enacting states: The provisions for regulation of collaborative law are presented in
2	two formats for enactment- by court rules or legislation. The substantive provisions of each
3	format are identical with the exception of several standard form clauses typically found in
4	legislation. Each state considering adopting the Uniform Collaborative Law Court Rules
5	(UCLR) or the Uniform Collaborative Law Act (UCLA) should review its practices and
6	precedent to first determine whether the substantive provisions are best adopted by court rule or
7 8	statute. The decision may vary from state to state depending on the allocation of authority between the legislature and the judiciary for regulation of contracts, alternative dispute
8 9	resolution and the legal profession. States may also decide to enact part of the substantive
10	provisions by court rule and part by legislation. Specific comments following some particular
11	rules or sections indicate whether the drafting committee believes enactment by court rule or
12	legislation is preferable. Drafting agencies may need to renumber sections and cross references
13	depending on their decision concerning the appropriate method of enactment.
14	
15	
	UNIFORM COLLABORATIVE LAW ACT
16 17	SECTION 1. SHORT TITLE. This [act] may be cited as the Uniform Collaborative
17	SECTION I. SHOKT IIILE. This [act] may be ched as the Onitorin Conaborative
18	Law Act.
19	SECTION 2. DEFINITIONS. In this [act]:
20	(1) "Collaborative law communication" means a statement, whether oral or in a record, or
21	verbal or nonverbal, that:
22	(A) is made to conduct, participate in, continue, or reconvene a collaborative law
23	process; and
24	(B) occurs after the parties sign a collaborative law participation agreement and
25	before the collaborative law process is concluded.
26	(2) "Collaborative law participation agreement" means an agreement by persons to
27	participate in a collaborative law process.
28	(3) "Collaborative law process" means a procedure intended to resolve a collaborative
29	matter without intervention by a tribunal in which persons:
30	(A) sign a collaborative law participation agreement; and
31	(B) are represented by collaborative lawyers.

(4) "Collaborative lawyer" means a lawyer who represents a party in a collaborative law
 process.

3 (5) "Collaborative matter" means a dispute, transaction, claim, problem, or issue for 4 resolution including a dispute, claim, or issue in a proceeding which: 5 **ALTERNATIVE A** 6 is described in a collaborative law participation agreement and arises under the family or 7 domestic relations law of this state, including but not limited to: marriage, divorce, annulment, 8 and property distribution; child custody, visitation and parenting time: alimony or maintenance 9 and child support; adoption; parentage; marital, post marital or premarital agreements; and 10 guardianship of minors or disabled persons. 11 **ALTERNATIVE B** 12 is described in a collaborative law participation agreement. 13 **END OF ALTERNATIVES** 14 (6) "Law firm" means: 15 (A) lawyers who practice law together in a partnership, professional corporation, 16 sole proprietorship, limited liability company, or association; and 17 (B) lawyers employed in a legal services organization, or the legal department of 18 a corporation or other organization, or the legal department of a government or governmental 19 subdivision, agency, or instrumentality. 20 (7) "Nonparty participant" means a person, other than a party and the party's 21 collaborative lawyer, that participates in a collaborative law process. (8) "Party" means a person that signs a collaborative law participation agreement and 22 23 whose consent is necessary to resolve a collaborative matter. 24 (9) "Person" means an individual, corporation, business trust, estate, trust, partnership,

1	limited liability company, association, joint venture, public corporation, government or
2	governmental subdivision, agency, or instrumentality, or any other legal or commercial entity.
3	(10) "Proceeding" means:
4	(A) a judicial, administrative, arbitral, or other adjudicative process before a
5	tribunal, including related prehearing and post-hearing motions, conferences, and discovery; or
6	(B) a legislative hearing or similar process.
7	(11) "Prospective party" means a person that discusses with a prospective collaborative
8	lawyer the possibility of signing a collaborative law participation agreement
9	(12) "Record" means information that is inscribed on a tangible medium or that is stored
10	in an electronic or other medium and is retrievable in perceivable form.
11	(13) "Related to a collaborative matter" means involving the same parties, transaction or
12	occurrence, nucleus of operative fact, dispute, claim, or issue as the collaborative matter.
13	(14) "Sign" means, with present intent to authenticate or adopt a record:
14	(A) to execute or adopt a tangible symbol; or
15	(B) to attach to or logically associate with the record an electronic symbol, sound,
16	or process.
17	(15) "Tribunal" means
18	(A) a court, arbitrator, administrative agency, or other body acting in an
19	adjudicative capacity which, after presentation of evidence or legal argument, has jurisdiction to
20	render a decision affecting a party's interests in a matter; or
21	(B) a legislative body conducting a hearing or similar process.
22	Comment
23 24 25 26	"Collaborative matter." The act uses the term "matter" rather the narrower term "dispute" to describe what the parties may attempt to resolve through a collaborative law process. Matter can include some or all of the issues in litigation or potential litigation, or can include issues between the parties that have not or may never ripen into litigation. The broader

1 term emphasizes that parties have great autonomy to decide what to submit to a collaborative law process and encourages them to use the process creatively and broadly.

5	
4 5 6 7 8 9 10	The drafting committee provides two alternatives for enacting states to define "collaborative matter" and thus the scope of matters that can be submitted to the collaborative law process. Alternative A limits "collaborative matter" to those which arise under the family or domestic relations law of a state. States which choose to include this language will thus limit the collaborative law process to those substantive areas where it has so far achieved the greatest acceptance and growth and in which collaborative lawyers have the greatest experience. They will, however, exclude matters which do not arise under the family or domestic relations law of
11	a state from the collaborative law process.
12	
13 14	<u>Alternative B, in contrast, places no substantive limitation on matters that can be</u> submitted to a collaborative law process, relying instead on the informed consent of parties based
15	on the information provided by their counsel under the standards for informed consent specified
16	in rules 12 and 13. Under Alternative B collaborative law participation agreements can be
17	entered into to attempt to resolve everything from contractor-subcontractor disagreements, estate
18	disputes, employer-employee rights, statutory based claims, customer-vendor disagreements, or
19	any other matter.
20	
21	<u>Under either Alternative A or B, the parties must describe the matter that they seek to</u>
22	resolve through a collaborative law process in their collaborative law participation agreement.
23 24	<u>See Section 4(a)(4). That requirement is essential to determining the scope of the disqualification</u> requirement for collaborative lawyers under section 9, which is applicable to the collaborative
24 25	matter and matters "related to the collaborative matter," and the application of the evidentiary
23 26	privilege under section 17.
20 27	privilege under section 17.
28	SECTION 3. APPLICABILITY. This [act] applies to a collaborative law participation
29	agreement that meets the requirements of section 4 signed [on or] after [the effective date of this
30	[act]].
31	SECTION 4. COLLABORATIVE LAW PARTICIPATION AGREEMENT;
32	REQUIREMENTS.
33	(a) A collaborative law participation agreement must:
34	(1) be in a record;
35	(2) be signed by the parties;
36	(3) state the parties' intention to resolve a collaborative matter through a
37	collaborative law process under this [act];

1	(4) describe the nature and scope of the matter;
2	(5) identify the collaborative lawyer who represents each party in the process; and
3	(6) contain a statement by each collaborative lawyer confirming the lawyer's
4	representation of a party in the collaborative law process.
5	(b) Parties may agree to include in a collaborative law participation agreement additional
6	provisions not inconsistent with this [act].
7	SECTION 5. BEGINNING AND CONCLUDING A COLLABORATIVE LAW
8	PROCESS.
9	(a) A collaborative law process begins when the parties sign a collaborative law
10	participation agreement.
11	(b) A tribunal may not order a party to participate in a collaborative law process over that
12	party's objection.
13	(c) A collaborative law process is concluded by a:
14	(1) resolution of a collaborative matter as evidenced by a signed record;
15	(2) resolution of a part of the collaborative matter, evidenced by a signed record,
16	in which the parties agree that the remaining parts of the matter will not be resolved in the
17	process; or
18	(3) termination of the process.
19	(d) A collaborative law process terminates:
20	(1) when a party gives notice to other parties in a record that the process is ended;
21	or
22	(2) when a party:
23	(A) begins a proceeding related to a collaborative matter without the
24	agreement of all parties; or

1	(B) in a pending proceeding related to the matter:
2	(i) initiates a pleading, motion, order to show cause, or request for
3	a conference with the tribunal;
4	(ii) requests that the proceeding be put on the [tribunal's active
5	calendar]; or
6	(iii) takes similar action requiring notice to be sent to the parties; or
7	(3) except as otherwise provided by subsection (g), when a party discharges a
8	collaborative lawyer or a collaborative lawyer withdraws from further representation of a party.
9	(e) A party's collaborative lawyer shall give prompt notice to all other parties in a record
10	of a discharge or withdrawal.
11	(f) A party may terminate a collaborative law process with or without cause.
12	(g) Notwithstanding the discharge or withdrawal of a collaborative lawyer, a
13	collaborative law process continues, if not later than 30 days after the date that the notice of the
14	discharge or withdrawal of a collaborative lawyer required by subsection (e) is sent to the
15	parties:
16	(1) the unrepresented party engages a successor collaborative lawyer; and
17	(2) in a signed record:
18	(A) the parties consent to continue the process by reaffirming the
19	collaborative law participation agreement;
20	(B) the agreement is amended to identify the successor collaborative
21	lawyer; and
22	(C) the successor collaborative lawyer confirms the lawyer's
23	representation of a party in the collaborative process.
24	(h) A collaborative law process does not conclude if, with the consent of the parties, a

party requests a tribunal to approve a resolution of the collaborative matter or any part thereof as
 evidenced by a signed record.

3 (i) A collaborative law participation agreement may provide additional methods of
4 concluding a collaborative law process.

5 SECTION 6. PROCEEDINGS PENDING BEFORE TRIBUNAL; STATUS
6 REPORT.

(a) Persons in a proceeding pending before a tribunal may sign a collaborative law
participation agreement to seek to resolve a collaborative matter related to the proceeding.
Parties shall file promptly with the tribunal a notice of the agreement after it is signed. Subject to
subsection (c) and sections 7 and 8, the filing operates as an application for a stay of the
proceeding.

(b) Parties shall file promptly with the tribunal notice in a record when a collaborative
law process concludes. The stay of the proceeding under subsection (a) is lifted when the notice
is filed. The notice may not specify any reason for termination of the process.

(c) A tribunal in which a proceeding is stayed under subsection (a) may require parties and collaborative lawyers to provide a status report on the collaborative law process and the proceeding. A status report may include only information on whether the process is ongoing or concluded. It may not include a report, assessment, evaluation, recommendation, finding, or other communication regarding a collaborative law process or collaborative law matter.

20 (d) A tribunal may not consider a communication made in violation of subsection (c).
21 (e) A tribunal shall provide parties notice and an opportunity to be heard before
22 dismissing a proceeding in which a notice of collaborative process is filed based on delay or
23 failure to prosecute.

24 25

Comment

1	Section 6 regulates the relationship between the collaborative law process and the judicial
2	process. The drafting committee thus believes section 6 might best be enacted by judicial rule
3	rather than legislation.
4	
5	This section authorizes parties to enter into a collaborative law participation agreement to
6	attempt to resolve matters in pending proceedings, a subject discussed in the Prefatory Note. See
7	<i>supra</i> . To give the collaborative law process time and breathing space to operate, it creates an
8	application for a stay of proceedings upon the filing of a collaborative law participation
9	agreement. The stay should normally be granted from the time the tribunal receives written
10	notice that the parties have executed a collaborative law participation agreement until it receives
11	written notice that the collaborative law process is concluded. The stay of proceedings is
12	qualified by rule 7, which authorizes a tribunal to issue emergency orders notwithstanding the
12	stay and rule 8, which authorizes a tribunal to approve an agreement resulting from a
13	collaborative law process.
14	conaborative law process.
13	
16	SECTION 7. EMERGENCY ORDER. During a collaborative law process, a tribunal
17	may issue emergency orders to protect the health, safety, welfare, or interest of a party or [insert
18	term for family or household member as defined in [state civil protection order statute]].
19	Comment
20	
21	Section 7 regulates the relationship between the collaborative law process and the judicial
22	process. The drafting committee thus believe that section 7 might best be enacted by judicial rule
23	rather than legislation.
24	
25	
26	
	SECTION 8. APPROVAL OF AGREEMENT BY TRIBUNAL. A tribunal may
27	SECTION 8. APPROVAL OF AGREEMENT BY TRIBUNAL. A tribunal may approve an agreement resulting from a collaborative law process.
27	approve an agreement resulting from a collaborative law process.
27 28	
27 28 29	approve an agreement resulting from a collaborative law process.
27 28 29 30	approve an agreement resulting from a collaborative law process. Comment <u>Section 8 regulates the relationship between the collaborative law process and the judicial</u>
27 28 29 30 31	approve an agreement resulting from a collaborative law process. Comment <u>Section 8 regulates the relationship between the collaborative law process and the judicial</u> <u>process. The drafting committee thus believe that rule 8 might best be enacted by judicial rule</u>
27 28 29 30 31 32	approve an agreement resulting from a collaborative law process. Comment <u>Section 8 regulates the relationship between the collaborative law process and the judicial</u>
27 28 29 30 31 32 33	approve an agreement resulting from a collaborative law process. Comment <u>Section 8 regulates the relationship between the collaborative law process and the judicial</u> <u>process. The drafting committee thus believe that rule 8 might best be enacted by judicial rule</u>
27 28 29 30 31 32	approve an agreement resulting from a collaborative law process. Comment <u>Section 8 regulates the relationship between the collaborative law process and the judicial</u> <u>process. The drafting committee thus believe that rule 8 might best be enacted by judicial rule</u>
27 28 29 30 31 32 33 34	approve an agreement resulting from a collaborative law process. Comment <u>Section 8 regulates the relationship between the collaborative law process and the judicial</u> <u>process. The drafting committee thus believe that rule 8 might best be enacted by judicial rule</u> <u>rather than legislation.</u>
27 28 29 30 31 32 33 34 35	approve an agreement resulting from a collaborative law process. Comment Section 8 regulates the relationship between the collaborative law process and the judicial process. The drafting committee thus believe that rule 8 might best be enacted by judicial rule rather than legislation. SECTION 9. DISQUALIFICATION OF COLLABORATIVE LAWYER AND

1 matter.

2	(b) Except as otherwise provided in subsection (c) and sections 10 and 11, a lawyer in a
3	law firm with which the collaborative lawyer is associated is disqualified from appearing before
4	a tribunal to represent a party in a proceeding related to the collaborative matter if the
5	collaborative lawyer is disqualified from doing so under subsection (a).
6	(c) A collaborative lawyer or a lawyer in a law firm with which the collaborative lawyer
7	is associated may represent a party:
8	(1) to ask a tribunal to approve an agreement resulting from the collaborative law
9	process; or
10	(2) to seek or defend an emergency order to protect the health, safety, welfare, or
11	interest of a party, or [insert term for family or household member as defined in [state civil
12	protection order statute]] if a successor lawyer is not immediately available to represent that
13	person. In that event, subsections (a) and (b) apply when the party, or [insert term for family or
14	household member] is represented by a successor lawyer or reasonable measures are taken to
15	protect the health, safety, welfare, or interest of that person.
16 17	Comment
16 17 18 19 20 21	Section 9 regulates who can appear before a court (tribunal) to represent a party after a collaborative law process terminates. The drafting committee thus believes that rule 9 might best be enacted by judicial rule rather than legislation.
17 18 19 20 21 22	Section 9 regulates who can appear before a court (tribunal) to represent a party after a collaborative law process terminates. The drafting committee thus believes that rule 9 might best
17 18 19 20 21	Section 9 regulates who can appear before a court (tribunal) to represent a party after a collaborative law process terminates. The drafting committee thus believes that rule 9 might best be enacted by judicial rule rather than legislation.
17 18 19 20 21 22 23	Section 9 regulates who can appear before a court (tribunal) to represent a party after a collaborative law process terminates. The drafting committee thus believes that rule 9 might best be enacted by judicial rule rather than legislation. SECTION 10. LOW INCOME PARTIES.
17 18 19 20 21 22 23 24	Section 9 regulates who can appear before a court (tribunal) to represent a party after a collaborative law process terminates. The drafting committee thus believes that rule 9 might best be enacted by judicial rule rather than legislation. SECTION 10. LOW INCOME PARTIES. (a) The disqualification of section 9(a) applies to a collaborative lawyer representing a
17 18 19 20 21 22 23 24 25	Section 9 regulates who can appear before a court (tribunal) to represent a party after a collaborative law process terminates. The drafting committee thus believes that rule 9 might best be enacted by judicial rule rather than legislation. SECTION 10. LOW INCOME PARTIES. (a) The disqualification of section 9(a) applies to a collaborative lawyer representing a party with or without fee.
17 18 19 20 21 22 23 24 25 26	Section 9 regulates who can appear before a court (tribunal) to represent a party after a collaborative law process terminates. The drafting committee thus believes that rule 9 might best be enacted by judicial rule rather than legislation. SECTION 10. LOW INCOME PARTIES. (a) The disqualification of section 9(a) applies to a collaborative lawyer representing a party with or without fee. (b) After a collaborative law process concludes, another lawyer in a law firm with which

1	(1) the party has an annual income that qualifies the party for free legal
2	representation under the criteria established by the law firm for free legal representation;
3	(2) the collaborative law participation agreement so provides; and
4	(3) the collaborative lawyer is isolated from any participation in the collaborative
5	matter or a matter related to the collaborative matter through procedures within the law firm
6	which are reasonably calculated to isolate the collaborative lawyer from such participation.
7	Comment
8 9 10 11 12	Section 10 regulates who can appear before a court (tribunal) to represent a party after a collaborative law process terminates. The drafting committee thus believes that section 10 might best be enacted by judicial rule rather than legislation.
13	SECTION 11. GOVERNMENTAL ENTITY AS PARTY.
14	(a) The disqualification of section 9(a) applies to a collaborative lawyer representing a
15	party that is a government or governmental subdivision, agency, or instrumentality.
16	(b) After a collaborative law process concludes, another lawyer in a law firm with which
17	the collaborative lawyer is associated may represent a government or governmental subdivision,
18	agency, or instrumentality in the collaborative matter or a matter related to the collaborative
19	matter if:
20	(1) the collaborative law participation agreement so provides; and
21	(2) the collaborative lawyer is isolated from any participation in the collaborative
22	matter or a matter related to the collaborative matter through procedures within the law firm
23	which are reasonably calculated to isolate the collaborative lawyer from such participation.
24	Comment
25 26 27 28 29	Section 11 regulates who can appear before a court (tribunal) to represent a party after a collaborative law process terminates. The drafting committee thus believes that section 11 might best be enacted by judicial rule rather than legislation.

1 **SECTION 12. DISCLOSURE OF INFORMATION.** Except as provided by law other 2 than this [act], during the collaborative law process, on the request of another party, a party shall 3 make timely, full, candid, and informal disclosure of information related to the collaborative 4 matter without formal discovery. A party also shall update promptly previously disclosed 5 information that has materially changed. Parties may define the scope of disclosure during the 6 collaborative law process. 7 SECTION 13. STANDARDS OF PROFESSIONAL RESPONSIBILITY AND 8 **MANDATORY REPORTING NOT AFFECTED.** This [act] does not affect: 9 (1) the professional responsibility obligations and standards applicable to a lawyer or 10 other licensed professional; or 11 (2) the obligation of a person to report abuse or neglect, abandonment, or exploitation of 12 a child or adult under the law of this state. SECTION 14. APPROPRIATENESS OF COLLABORATIVE LAW PROCESS. 13 14 Before a prospective party signs a collaborative law participation agreement, a prospective 15 collaborative lawyer shall: 16 (1) assess with the prospective party factors the lawyer reasonably believes relate to 17 whether a collaborative law process is appropriate for the prospective party's matter; 18 (2) provide the prospective party with information that the lawyer reasonably believes is 19 sufficient for the party to make an informed decision about the material benefits and risks of a 20 collaborative law process as compared to the material benefits and risks of other reasonably 21 available alternatives for resolving the proposed collaborative matter, such as litigation, 22 mediation, arbitration, or expert evaluation; and 23 (3) advise the prospective party that: 24 (A) after signing an agreement if a party initiates a proceeding or seeks tribunal

intervention in a pending proceeding related to the collaborative matter, the collaborative law
 process terminates;

- (B) participation in a collaborative law process is voluntary and any party has the
 right to terminate unilaterally a collaborative law process with or without cause; and
 (C) the collaborative lawyer and any lawyer in a law firm with which the
 collaborative lawyer is associated may not appear before a tribunal to represent a party in a
 proceeding related to the collaborative matter, except as authorized by section 9(c), 10(b), or
 11(b).
- 9

SECTION 15. COERCIVE OR VIOLENT RELATIONSHIP.

(a) Before a prospective party signs a collaborative law participation agreement, a
prospective collaborative lawyer must make reasonable inquiry whether the prospective party
has a history of a coercive or violent relationship with another prospective party.

(b) Throughout a collaborative law process, a collaborative lawyer reasonably and
continuously shall assess whether the party the collaborative lawyer represents has a history of a
coercive or violent relationship with another party.

(c) If a collaborative lawyer reasonably believes that the party the lawyer represents or
the prospective party who consults the lawyer has a history of a coercive or violent relationship
with another party or prospective party, the lawyer may not begin or continue a collaborative law
process unless:

20

21

and

(1) the party or the prospective party requests beginning or continuing a process;

(2) the collaborative lawyer reasonably believes that the safety of the party or
prospective party can be protected adequately during a process.

24 SECTION 16. CONFIDENTIALITY OF COLLABORATIVE LAW

COMMUNICATION. A collaborative law communication is confidential to the extent agreed
by the parties in a signed record or as provided by law of this state other than this [act].
SECTION 17. PRIVILEGE AGAINST DISCLOSURE FOR COLLABORATIVE
LAW COMMUNICATION; ADMISSIBILITY; DISCOVERY.
(a) Subject to sections 18 and 19, a collaborative law communication is privileged under
subsection (b), is not subject to discovery, and is not admissible in evidence.
(b) In a proceeding, the following privileges apply:
(1) A party may refuse to disclose, and may prevent any other person from
disclosing, a collaborative law communication.
(2) A nonparty participant may refuse to disclose, and may prevent any other
person from disclosing, a collaborative law communication of the nonparty participant.
(c) Evidence or information that is otherwise admissible or subject to discovery does not
become inadmissible or protected from discovery solely because of its disclosure or use in a
collaborative law process.
Comment
In many states legislation is required to create a privileged communication. While the earliest recognized privileges were judicially created, this practice stopped over a century ago. <i>See</i> KENNETH S. BROUN ET AL., MCCORMICK ON EVIDENCE § 75 (6th ed. 2006). Today, evidentiary privileges are rooted within legislative action; some state legislatures have even passed statutes which bar court-created privileges. <i>See</i> , <i>e.g.</i> , CAL. EVID. CODE § 911 (West 2009); WIS. STAT. ANN. § 905.01 (West 2000). The drafting committee thus recommends that section 17 might best be enacted by legislation.
SECTION 18. WAIVER AND PRECLUSION OF PRIVILEGE.
(a) A privilege under section 17 may be waived in a record or orally during a proceeding
if it is expressly waived by all parties and, in the case of the privilege of a nonparty participant, it
is also expressly waived by the nonparty participant.
(b) A person that makes a disclosure or representation about a collaborative law

1	communication which prejudices another person in a proceeding may not assert a privilege under
2	section 17, but this preclusion applies only to the extent necessary for the person prejudiced to
3	respond to the disclosure or representation.
4	Comment
5 6 7	<u>The drafting committee recommends that section 18 might best be enacted by legislation.</u> See comment to section 17 <i>supra</i> .
8	SECTION 19. LIMITS OF PRIVILEGE.
9	(a) There is no privilege under section 17 for a collaborative law communication that is:
10	(1) available to the public under [state open records act] or made during a session
11	of a collaborative law process that is open, or is required by law to be open, to the public;
12	(2) a threat or statement of a plan to inflict bodily injury or commit a crime of
13	violence;
14	(3) intentionally used to plan a crime, commit or attempt to commit a crime, or
15	conceal an ongoing crime or ongoing criminal activity; or
16	(4) in an agreement resulting from the collaborative law process, evidenced by a
17	record signed by all parties to the agreement.
18	(b) The privileges under section 17 for a collaborative law communication do not apply
19	to the extent that a communication is:
20	(1) sought or offered to prove or disprove a claim or complaint of professional
21	misconduct or malpractice arising from or related to a collaborative law process; or
22	(2) sought or offered to prove or disprove abuse, neglect, abandonment, or
23	exploitation of a child or adult, unless the [child protective services agency or adult protective
24	services agency] is a party to or otherwise participates in the process.
25	(c) There is no privilege under section 17 if a tribunal finds, after a hearing in camera,

1	that the party seeking discovery or the proponent of the evidence has shown the evidence is not
2	otherwise available, the need for the evidence substantially outweighs the interest in protecting
3	confidentiality, and the collaborative law communication is sought or offered in:
4	(1) a court proceeding involving a felony [or misdemeanor]; or
5	(2) a proceeding seeking rescission or reformation of a contract arising out of the
6	collaborative law process or in which a defense to avoid liability on the contract is asserted.
7	(d) If a collaborative law communication is subject to an exception under subsection (b)
8	or (c), only the part of the communication necessary for the application of the exception may be
9	disclosed or admitted.
10	(e) Disclosure or admission of evidence excepted from the privilege under subsection (b)
11	or (c) does not make the evidence or any other collaborative law communication discoverable or
12	admissible for any other purpose.
13	(f) The privileges under section 17 do not apply if the parties agree in advance in a signed
14	record, or if a record of a proceeding reflects agreement by the parties, that all or part of a
15	collaborative law process is not privileged. This subsection does not apply to a collaborative law
16	communication made by a person that did not receive actual notice of the agreement before the
17	communication was made.
18	Comment
19 20 21	The drafting committee recommends that section 19 might best be enacted by legislation. See comment to section 17 <i>supra</i> .
22	SECTION 20. AUTHORITY OF TRIBUNAL IN CASE OF NONCOMPLIANCE.
23	(a) If an agreement fails to meet the requirements of section 4, or a lawyer fails to comply
24	with section 14 or 15, a tribunal may nonetheless find that the parties intended to enter into a
25	collaborative law participation agreement if they:

1	(1) signed a record indicating an intention to enter into a collaborative law
2	participation agreement; and
3	(2) reasonably believed they were participating in a collaborative law process.
4	(b) If a tribunal makes the findings specified in subsection (a), and the interests of justice
5	require, the tribunal may:
6	(1) enforce an agreement evidenced by a record resulting from the process in
7	which the parties participated;
8	(2) apply the disqualification provisions of sections 5, 6, 9, 10, and 11; and
9	(3) apply the privileges under section 17.
10	SECTION 21. UNIFORMITY OF APPLICATION AND CONSTRUCTION. In
11	applying and construing this uniform act, consideration must be given to the need to promote
12	uniformity of the law with respect to its subject matter among states that enact it.
13	SECTION 22. RELATION TO ELECTRONIC SIGNATURES IN GLOBAL AND
14	NATIONAL COMMERCE ACT. This [act] modifies, limits, and supersedes the federal E-
15	Sign, 15 U.S.C.A. § 7001 et seq. (2009), but does not modify, limit, or supersede section 101(c)
16	of that act, 15 U.S.C.A. § 7001(c), or authorize electronic delivery of any of the notices
17	described in § 103(b) of that act, 15 U.S.C.A. § 7003(b).
18	[SECTION 23. SEVERABILITY. If any provision of this [act] or its application to
19	any person or circumstance is held invalid, the invalidity does not affect other provisions or
20	applications of this [act] which can be given effect without the invalid provision or application,
21	and to this end the provisions of this [act] are severable.]
22 23	<i>Legislative Note</i> : Include this section only if the state lacks a general severability statute or a decision by the highest court of this state stating a general rule of severability.
24 25	SECTION 24. EFFECTIVE DATE. This [act] takes effect

- *Legislative Note:* States should choose an effective date for the act that allows substantial time for notice to the bar and the public of its provisions and for the training of collaborative lawyers. 2