

**“What is an effective or good mediator: Exploring empirical research on mediator
attributes and behaviours”**

Alysoun Boyle

A thesis submitted in fulfilment of the requirements for the degree of

Doctor of Philosophy in Law

August 2020

This research was supported by an Australian Government

Research Training Program (RTP) Scholarship

STATEMENT OF ORIGINALITY

I hereby certify that the work embodied in the thesis is my own work, conducted under normal supervision. The thesis contains no material which has been accepted, or is being examined, for the award of any other degree or diploma in any university or other tertiary institution and, to the best of my knowledge and belief, contains no material previously published or written by another person, except where due reference has been made. I give consent to the final version of my thesis being made available worldwide when deposited in the University's Digital Repository, subject to the provisions of the Copyright Act 1968 and any approved embargo.

Alysoun Boyle

Table of Contents

“What is an effective or good mediator?”	1
Table of Contents	3
Table of Figures	8
Abstract.....	9
Acknowledgements	10
Chapter One: Introduction	11
1.0. Mediation: An introduction.....	11
1.1. Mediation in Australia.....	15
1.2. Defining mediation.....	19
1.3. Mediation effectiveness	21
1.4. The mediator.....	25
1.5. Mediator effectiveness	32
1.6 Mediation research	38
1.7. Thesis overview.....	46
1.7.0. Significance of this research.....	46
1.7.1. Contribution to the field	47
1.7.2. Research objective	48
1.7.3. Research Questions.....	48
1.7.4. Scope of this research.....	48
1.7.5. Methodology.....	49
1.7.6. Chapter outline	51
1.8. Conclusion.....	52
Chapter Two: Methodology	54
2.0. Metaresearch	55
2.1. The selected empirical literature.....	57
2.1.0. The selected studies.....	61
2.1.1. Limitations.....	63
2.1.2. Strengths	67
2.2. Thematic analysis: effectiveness and what mediators do.....	68
2.2.0. Mediation effectiveness	68
2.2.1. What mediators do	72

2.3. Systematic appraisal and bibliometric analysis	81
2.3.0. Overview and aims.....	81
2.3.1. Methodology.....	85
2.3.2. Limitations.....	88
2.3.3. Bibliometric analysis	88
2.4. Targeted review	91
2.5. Online survey of professional mediators.....	93
2.5.0. Background literature	94
2.5.1. The survey	98
2.5.2. Analysis	104
2.6. Thesis terminology	105
2.7. Conclusion.....	106
Chapter Three: Effectiveness.....	108
3.0. Context, aims, and key findings.....	108
3.0.1. Key findings	109
3.1. Effectiveness in mediation	113
3.1.0. Defining effectiveness in mediation.....	114
3.1.1. Defining effectiveness in Australia.....	115
3.2 Simple and complex effectiveness.....	121
3.2.0. Simple effectiveness	122
3.2.1. <i>Complex effectiveness</i>	124
3.2.2. Mediation context.....	128
3.2.3. Contextual comparative analysis	130
3.3. Influencing effectiveness.....	139
3.3.0. Procedural justice in mediation	140
3.3.1. Interpersonal justice in mediation	145
3.3.2. Mediator neutrality and impartiality	147
3.3.3. Private meetings	150
3.3.4. Disputant advisers and representatives.....	152
3.3.5. Reducing effectiveness	154
3.4. Effectiveness and models of mediation practice.....	155
3.4.0. The evaluative, facilitative, and transformative models.....	156
3.4.1. Effectiveness and models in the selected studies.....	158
3.5. Conclusion.....	162
Chapter Four: What mediators do.....	164
4.0. Chapter aims, findings, and methodology	164
4.1. Research terminology does matter	169
4.1.0. Language conventions and conceptual clarity	170
4.2. Analysis	173
4.2.0. Key terms in the selected studies	173
4.2.1. Identifying key terms and their prevalence	175

4.3. Findings: What mediators do	189
4.3.0. Generalised stylistic categories.....	191
4.3.1. Outcomes, not actions	193
4.3.2. Effects, not actions.....	194
4.3.3. Generalised, not specific.....	195
4.3.4. Specific actions and approaches?	197
4.3.5. Contextual and effectiveness trends	200
4.4. Communication skills, empathy, and rapport.....	201
4.5. Mediator influence and effectiveness	206
4.6. Conclusion.....	207
Chapter Five: The people	210
5.0. Terms, aims, and findings.....	211
5.0.1. Terms used in the systematic appraisal.....	211
5.0.2 Systematic appraisal: Aims and findings.....	211
5.0.3. Chapter Five: Aims and findings.....	213
5.0.4. Brief findings: research design, and study purpose	215
5.1. Appraisal findings: The people	221
5.1.0. Study participants	223
5.1.1. Population groups.....	227
5.1.2. Demographic representativeness	235
5.1.3. Gender	243
5.1.4. Confidentiality restrictions on research data.....	246
5.2. Participant selection, and research roles.....	248
5.2.0. Selection and consent.....	252
5.2.1. Pressure to participate	264
5.3. Research roles	265
5.3.0. Overview	265
5.3.1. Allocated research roles.....	267
5.4. Influence: Groups and repeat players.....	278
5.4.0. Group effect	278
5.4.1. Mediation experience and repeat players	280
5.4.2. Control groups	286
5.5. Conclusion.....	287
Chapter Six: The data.....	290
6.0. Context, aims, and findings	290
6.0.0. Aims and key findings	291
6.0.1. Methodology.....	292
6.1. Collecting the data	294
6.1.0. Data collection methods	299
6.1.1. Data topics	322
6.1.2. Summary: Data collection	351
6.2. Acknowledged limitations.....	353

6.2.0. General limitations.....	353
6.2.1. Methodological limitations	358
6.2.2. Subjective data.....	365
6.2.3. Broader limitations	367
6.3. Missing data	372
6.3.0. Identifying “missing data”.....	373
6.3.1. Replacing missing data	385
6.3.2. Coding and inter-coder reliability	387
6.4. Chapter Five and Chapter Six: Findings.....	398
6.4.0. Chapter Five: Findings.....	398
6.4.1. Chapter Six: Findings.....	399
6.5. Conclusion.....	399
Chapter Seven: The researchers	402
7.0. Introduction, context, and aims	402
7.0.1. Aims of Chapter Seven	404
7.0.2. Key findings	405
7.0.3. Scope of the Chapter	406
7.1. Researcher influence and reflexivity	412
7.1.0. Researcher influence: External	412
7.1.1. Researcher influence: reflexivity.....	425
7.2. Constraints on mediation research.....	433
7.2.0. Systemic constraints	433
7.2.1. Endemic constraints.....	445
7.2.2. Journals and publications.....	455
7.2.3. The social desirability effect.....	460
7.3. Knowledge gaps	469
7.4. Addressing constraints and filling gaps.....	473
7.4.1. Professional mediators online survey.....	475
7.5. Systematic appraisal: Outcomes.....	479
7.6. Alternative research approaches and methods	481
7.7. Conclusion.....	482
Chapter Eight: The future.....	484
8.0. The Research Questions	484
8.1. Future research: Alternative approaches and methods	486
8.1.1. Addressing research constraints	487
8.1.2. Research approaches and methods.....	494
8.2. Conclusion.....	514
Appendix A.	516
Bibliography and references	516

Appendix B.....	544
The 47 selected empirical studies.....	544
Appendix C.....	548
Data collection instruments.....	548
Appendix D.	562
Online survey of professional mediators, 2019	562
Appendix E.....	563
Report of the ABA Task Force, 2017	563

Table of Figures

FIGURE 3.1. SIMPLE AND COMPLEX EFFECTIVENESS.....	125
FIGURE 3.2. SIMPLE AND COMPLEX EFFECTIVENESS: CONTEXTUAL ANALYSIS.....	132
FIGURE 4.1. FIFTEEN KEY TERMS	176
FIGURE 4.2. KEY TERMS: FREQUENCY OF OCCURRENCE	182
FIGURE 4.3. KEY TERMS: EXPLANATIONS INCLUDED.....	186
FIGURE 5.1. STUDY PURPOSE.	220
FIGURE 5.2. POPULATION GROUPS – MEDIATOR PARTICIPANTS.....	231
FIGURE 5.3. POPULATION GROUPS – NON-MEDIATOR PARTICIPANTS.....	234
FIGURE 5.4. SELECTION PROCESS INCLUDED.....	257
FIGURE 5.5. SELECTION PROCESS.....	257
FIGURE 5.6. MEDIATOR PARTICIPANTS: WHOSE DATA?	276
FIGURE 5.7. NON-MEDIATOR PARTICIPANTS: WHOSE DATA?	276
FIGURE 6.1. DATA COLLECTION USING SURVEYS.	306
FIGURE 6.2. OBSERVATIONAL DATA COLLECTION.....	312
FIGURE 6.3. MODE OF DATA COLLECTION	320
FIGURE 6.4. RESPONDENT IDENTITY AND FOCUS AREA.....	323
FIGURE 6.5. DATA ABOUT MEDIATOR IN-MEDIATION BEHAVIOUR.....	339
FIGURE 6.6. DISPUTANT IN-MEDIATION BEHAVIOUR.....	344

Abstract

At present, in Australia, mediation is widely available through a range of publicly funded and supported mediation programs and services, most visibly in the court-connected context, and it is also available through industry programs as well as privately. The process has statutory acknowledgement in all jurisdictions, and mediators can be accessed through their membership of mediation panels, and of tribunals, or they can be appointed privately by disputants. Mediation enjoys a strong reputation for its dispute resolution efficacy, resting on at least forty years of research.

The purpose of the research supporting this thesis was to establish what is known about mediator effectiveness and what makes a “good” mediator. The research analysed a selection of influential empirical studies of mediation and was conducted using a metaresearch framework, an approach that enables system-wide analysis and is uncommon in mediation research. Four research methodologies were applied: two thematic reviews, a systematic appraisal, a targeted review, and an online survey of professional mediators.

The thesis argues that very little is known about mediator effectiveness, or about the role, actions, contributions, and influence of the mediator, because these remain largely unexplored. It argues further that very little can be known unless steps are taken to address the constraints on mediation research, including changes to publishing practices and the adoption of alternative research approaches and methods.

This thesis contributes to mediation research, in particular empirical studies of mediation, by filling two knowledge gaps. It establishes that very little is known about mediator effectiveness and, taking a system-wide approach, it confirms reported constraints on mediation research.

Acknowledgements

First and foremost, I must acknowledge the valuable supervision of Professor Tania Soudin (University of Newcastle). Throughout the genesis, development, and completion of this research and thesis, she has been an extraordinary guide and sounding board and I can only say that she has been a wonder of encouragement, advice, humour, and personal support.

I must also thank my associate supervisor, Dr Jennifer Waterhouse (University of Newcastle), who has provided valuable and insightful comments, in particular from a research perspective.

Thank you to my colleagues on the American Bar Association Section of Dispute Resolution Task Force on Research on Mediator Techniques.

Thank you to my friends and colleagues in the ADR Research Network, on the Australian Dispute Resolution Advisory Council, and on the Board of the National Mediation Conference: for your support and guidance.

Dylan in Chicago (US), and, in Newtown, Kathleen, Nick, Rufus, Clyde, and Nell, gave me the personal strength to stay with this undertaking.

Sandy, Alaric, Janet, John , Jenny and Hans have all given freely their unstinting support, advice, and friendship.

Thank you Jennifer.