# Summary Table of Contents

۲

Preface	xxxiii
About the Author	xxxvii

## Part I. Before the Hearing

Chapter 1.	Overview of the Labor Arbitration Process	
Chapter 2.	Review and Analysis of the Grievance	
	and Applicable Contract Provisions	23
Chapter 3.	Exploring Settlement	47
Chapter 4.	Selecting an Arbitrator and Arranging the Hearing	67
Chapter 5.	Assembling the Evidence and Evaluating	
	Potential Witnesses	97
Chapter 6.	Preparing Documentary and Other Evidence	119
Chapter 7.	Formulating Arguments and Researching	
	Authorities	149
Chapter 8.	Selecting and Preparing Witnesses	179
Chapter 9.	Preliminary Matters	221

## Part II. During the Hearing

Chapter 10.	Opening Statements	255
Chapter 11.	Presenting the Case in Chief	275
Chapter 12.	Rules of Evidence	327
Chapter 13.	Making and Defending Against Objections	395

۲

۲

۲

Chapter 14.	Conducting Cross-Examination	413
Chapter 15.	Redirect and Recross-Examinations	
	and Rebuttal	469
Chapter 16.	Closing Arguments	489

## Part III. After the Hearing

Chapter 17.	Post-Hearing Briefs	503
Chapter 18.	Other Post-Hearing Matters	537
Chapter 19.	Challenging the Award	557

# Part IV. Advanced Advocacy Skills

Chapter 20.	Advocates' Best and Worst Practices:	
	Arbitrators' Perspectives	587
Chapter 21.	Blueprint of a Grievance Arbitration Case	605
Chapter 22.	Interest Arbitration and Other Labor	
	Arbitration Variations	663
Appendix A	Federal Mediation and Conciliation Service	
	(FMCS) Office of Arbitration Services-	
	Policies & Procedures	699
Appendix B	National Academy of Arbitrators (NAA), AAA	
	and FMCS- Code of Professional Responsibility	
	for Arbitrators of Labor-Management Disputes	713
Appendix C	American Arbitration Association (AAA)-	
	Labor Arbitration Rules	737
Appendix D	Federal Rules of Evidence	765
Index		791

۲

۲

# **Detailed Table of Contents**

۲

Preface	xxxiii
About the Author	xxxvii

## Part I. Before the Hearing

Chapte	er 1. Overview of the Labor	
	Arbitration Process	3
I.	Overview	4
II.	Selecting the Advocate	4
	A. Lawyers versus Nonlawyers	5
	1. Cases with Significant Legal Aspects	5
	2. Lawyers Representing the Opposing Side	6
	3. Advocate's Testimony Is Essential to the Case	6
III.	The Hearing Process	7
	A. Division between Evidence and Argument	7
	B. Significance of the Evidence/Argument Distinction	9
	1. Marshaling the Facts and Evidence	10
IV.	Structure of the Hearing	11
V.	Preliminary Matters	12
	A. Determining the Issue	13
	B. Other Preliminary Matters	13
VI.	Opening Statements	14
VII.	The Case in Chief	15
	A. Direct Examination	15
	B. Cross-Examination	16
	C. Redirect and Recross-Examination	16

۲

۲

۲

VIII	Rebuttal 17		
	Closing Arguments and Post-hearing Briefs		
	The Burdens		
	A. Burden of Production	18 19	
	B. Burden of Persuasion	20	
	C. Quantum of Proof	20	
XI.		21	
	Finality of Arbitration	22	
Chapte	er 2. Review and Analysis of the Grievance and		
<b>I</b>	Applicable Contract Provisions	23	
I.	Overview	24	
	Arbitrability	24	
	Procedural Arbitrability—Timeliness of Grievance Filing		
	and/or Processing	25	
	A. When Must the Issue of Timeliness First Be Raised?	26	
	B. The Operative Dates for Determining a Timely		
	Grievance	27	
	1. Continuing Violations	27	
	2. Past Practices Affecting Timeliness	29	
	C. Timeliness Recap	29	
IV.	Procedural Arbitrability—Standing	30	
V.	Substantive Arbitrability		
	A. Reviewing the Subject Matter of the Grievance		
	Concerning Arbitrability	31	
	B. Arbitrability of Subjects Not Directly Addressed		
	in the Labor Agreement	32	
	C. Determinations of Arbitrability	35	
VI.	Importance of Reviewing the Entire Grievance File—		
	The Facts	36	
VII.	The Labor Agreement—The Contractual Basis		
	for Arbitration	36	
	A. Considering Sidebar Agreements	37	
	B. Evaluating Prior Arbitration Decisions	39	
	C. Considering Previous Grievance Settlements	40	
	D. Influence of Past Practice	41	

viii

۲

۲

	Detailed Table of Contents	ix
	E. Researching Precontract Negotiations	
	and Bargaining History	42
	F. Ascertaining Previous Positions and Contractual	
	Theories	44
Chapte	r 3. Exploring Settlement	47
Ī.	Introduction	47
II.	Evaluating Settlement Possibilities	48
	A. Estimating Win–Loss Potential and Considering	
	All Impacts	48
	B. Assessing Potential Liability and Remedies	53
	C. Relationship to Other Proceedings	54
	D. Tactical and Intangible Considerations	56
III.	Potential for Settlement	57
IV.	Strategy and Timing of Settlement Efforts	57
V.	Use of a Third Party to Facilitate Settlement Discussions	59
	A. The Selected Arbitrator as Mediator	60
	B. Mediator Who Will Not Be Serving as the Arbitrator	60
VI.	The Importance of Confidentiality	62
VII.	Crafting the Settlement Agreement	63
	A. No Precedential Effect	63
	B. No Admission of Contract Violation	64
	C. Time for Performance	64
	D. Allocation of Costs of Cancelled Arbitration	65
VIII.	Resolving Difficult Discharge Cases	65
IX.	Overview	66
Chapte	r 4. Selecting an Arbitrator	
	and Arranging the Hearing	67
I.	Overview	68
II.	Board of Arbitration Compared with Single Arbitrator	69
	A. Role of Partisan Arbitrators	69
	B. Selecting Partisan Arbitrators	69
	C. Disadvantages of Tripartite Boards	70
III.	Methods of Selecting an Arbitrator	71
	A. Sole Permanent Arbitrator	71

۲

	R	Preselected Panel	73
	D.	1. Assigning from a Preselected Panel	73
		<ol> <li>Advantages and Disadvantages of Preselected</li> </ol>	15
		Panels	74
	С	Federal Mediation and Conciliation Service	7 -
	C.	(FMCS) Panel	75
	D.	American Arbitration Association (AAA) Panel	80
	E.		81
	F.	Strategy of Selecting from a Panel	81
	G.	Ad Hoc Selection of a Single Arbitrator	83
IV.		searching Arbitrators and Analyzing Their Suitability	
		the Case	84
	A.	Resumes and Decisions	84
	B.	Reports from Colleagues and Other Advocates	90
		Weighing the Information and Making a Selection	91
V.	Scł	heduling the Hearing	92
	А.	Multiple Cases in a Single Hearing	92
		1. Motives for Multiple Cases	93
		2. Means of Resolving Multiple Case Disputes	93
	В.	Hearing Site and Room Arrangements	94
	C.	Stenographic Record of the Hearing	95
Chapte	er 5.	. Assembling the Evidence and	
1		Evaluating Potential Witnesses	97
I.	Im	portance of the Evidentiary Case	98
II.	Co	mpleteness of the Record to Date	99
III.	De	fining the Issues and the Theory of the Case	100
	А.	Focusing on the Issues	100
		Focusing on the Theory	101
IV.	De	termining the Facts That Need to Be Proven	102
	А.	Types of Facts	102
		1. Background Facts	102
		2. Essential Facts	103
		3. Rebuttal Facts	103
		Outlining the Facts and the Supporting Evidence	104
		Chronology	105
	D.	Undisputed Facts—Stipulations	106

۲

۲

Detailed T	Table of	Contents
------------	----------	----------

V.	Int	erviewing Potential Witnesses	107
	А.	Timing	107
	В.	Thoroughness	108
	C.	Individual versus Group Interviews	109
	D.	Questioning Format	109
	E.	Questioning Techniques	110
	F.	Refreshing Recollections	112
VI.	Eva	aluating Witnesses	112
	А.	Characteristics of Marginal Witnesses	113
		1. Overly Eager and Non-percipient	113
		2. Inarticulate	114
		3. Easily Led	114
		4. Explosive or Argumentative	114
		5. Garrulous	114
		6. Inconsistent or Forgetful	115
		7. Unpersuasive	115
		8. Excessively Protective or Defensive	115
	В.	Adapting to Marginal Witnesses	115
	C.	The Unavailable or Uncooperative Witness	116
Chapte	er 6	. Preparing Documentary	
p		and Other Evidence	119
I.	Ga	thering and Preparing Documentary Evidence	120
		Relevancy and Authenticity	120
	B.		121
		1. Communications—Digital and Paper	122
		2. Notes and Logs Prepared by Supervisors	
		and Others	124
	C.	Obtaining Documents in the Other Party's Possession	125
		1. Written Request	126
		2. Subpoena or Motion to Produce	127
		3. Unfair Labor Practice Charge	130
		4. Other Means of Obtaining Evidence	131
		5. Potential Adverse Impact of Nondisclosure	132
II.	Pre	eparing Exhibits	132
		Charts and Graphs	133
		Photographs, Videotapes, and Computer Graphics	133
		1. Still Photos and Videos	134

۲

۲

۲

xi

۲

	2. Visual Evidence of Actual Conditions and Events	134
	3. Computer Graphics	137
	4. Integrity of Graphics	137
	5. Other Practical Issues Regarding Graphics	138
	C. Diagrams, Blueprints, and Other Graphic	
	Representations	138
	D. Multiple Visuals	139
III.	Obtaining Real Evidence	139
	A. Site Visitations	140
	B. Demonstrative Evidence	143
IV.	Use of Expert Witnesses	144
	A. Appropriateness	144
	B. Use of Fact Witnesses as Expert Witnesses	146
V.	Organizing Exhibits and Other Materials	147
Chapte	er 7. Formulating Arguments and	
empre	Researching Authorities	149
I.	Introduction	150
	Framing the Arguments	151
	A. Arguments—Employer's Side	152
	B. Arguments—Union's Side	153
	C. Anticipating the Other Side's Arguments	154
	D. Relying on Marginal Arguments	154
III.	Linking Arguments and Evidence	155
IV.		155
	A. Operative Language of the Agreement	155
	B. Review All Possible Provisions	156
	C. Analyze Rationale of the Relevant Provisions	157
V.	Researching Contract Language Background	
	and Precedent	157
	A. Previous Similar or Analogous Cases	158
	1. Arbitration Awards	158
	2. Grievance Settlements	160
	3. Informal Grievance Dispositions	160
	4. Past Practice	162
VI.	Bargaining History	165
	A. Evolution of Contract Clauses	166
	B. Analyzing Proposals and Counterproposals	166

xii

۲

۲

Detailed Table of Contents

xiii

۲

	C. Contemporaneous Circumstances	167
	D. The Unaccepted Change	168
	E. Communications during Negotiations	169
VII.	Outside Authorities	170
	A. Published Arbitration Decisions	171
	1. Influence of Decisions Involving Other Parties	171
	2. Value of Reported Decisions in Preparing a Case	172
	B. Unpublished Arbitration Decisions	173
	C. External Law	174
	D. Scholarly Texts	175
	E. Industry and Professional Practices	176
VIII.	Prehearing Briefs	177
Chapte	er 8. Selecting and Preparing Witnesses	179
Ī.	Overview	180
II.	Selection of Witnesses	181
III.	Preparing Witnesses to Testify	181
	A. Timing of Preparation	182
	B. Efficient Use of Time	183
	C. Initial Briefing of Witnesses	183
	D. Putting Witnesses at Ease	184
	E. Refreshing Recollections	185
	F. Preparing Direct Examination	186
	1. Outline of Witnesses and Points to Be Covered	186
	2. Method of Recording and Using Questions	
	and Answers	187
	G. Reviewing Personal Information about Each Witness	187
	H. Order of Questions	189
	1. Laying a Foundation	189
	2. Chronological Order	190
	3. Order of Importance of Other Factors	191
	I. Molding the Questions and Answers	192
	1. Framing Questions	192
	2. Structuring Answers	194
IV.	Guidelines for Witnesses	196
	A. Dress, Decorum, and Demeanor	197
	1. Clothing and Grooming	197
	2. Decorum	197

۲

۲

2/25/21 3:45 PM

۲

	3. Demeanor	198
	4. Decorum and Demeanor when Not Testifying	198
	5. Focusing on the Questions	199
	B. Manner and Style of Testifying	206
	1. Vocabulary	207
	2. Addressing the Arbitrator and the Advocates	207
	3. Articulation	207
	4. Significance of Word Selection in Answers	208
	5. Eye Contact	209
	C. Correcting Errors in Testimony	209
	D. Assisting the Advocate when Not Testifying	210
V.	Special Instructions to Witnesses Regarding	
	Cross-Examination	211
	A. Controlling One's Temper	211
	B. Dealing with Leading Questions	211
	C. Stopping for Objections	212
	D. Listening to Objections	213
VI.	Checklist of Instructions to Witnesses	214
VII.	Additional Ways to Enhance the Testimony	
	of Witnesses	217
	A. Role Play Cross-Examination	217
	1. Questioning by a Different Advocate	218
	2. Prepare in the Actual Hearing Room	218
	3. Video Record the Witness's Testimony	219
Chapte	r 9. Preliminary Matters	221
Ī.	Overview	222
II.	Compliance with Requests for Production of Evidence	222
	A. Applicability of Discovery to Labor Arbitration	223
	B. Compliance with Information Requests or Orders	223
III.	Stipulations	224
	A. Matters Suitable for Stipulation	225
	1. Issue(s) to Be Decided by the Arbitrator	225
	2. Facts	226
	3. Applicable Agreement Provisions and Limits	
	on the Arbitrator's Authority	227
	4. New Documents and Other Recently Discovered	
	Evidence	228

xiv

۲

۲

Detailed	Table	of	Contents
----------	-------	----	----------

		5. Other Matters Suitable for Stipulations	229
		6. Timing of Stipulations	229
		7. Stipulations during the Hearing	230
		8. Consent Awards	231
		9. Caveats Concerning Stipulations	231
IV.	Spe	ecial Arrangements Concerning Witnesses	232
	А.	Witnesses Unavailable to Testify in Person	232
	В.	Witness Testifying Out of Order	234
	C.	Sequestering Witnesses	235
		1. Rules Concerning Sequestration	235
		2. Strategy of Requesting Sequestration	236
	D.	Swearing of Witnesses	237
	E.	Use of Interpreters	238
	F.	Failure of a Subpoenaed Witness to Appear	238
V.	Pro	ocedural Matters	239
	А.	Arbitrability and Timeliness	239
	В.	Collateral Proceedings	240
	C.	Site Visitation	241
	D.	Bifurcation of the Hearing	243
	E.	Continuance	244
	F.	Expedited or "Bench" Decision	245
VI.	Iss	ues Related to the Arbitrator	246
	А.	Arbitrator's Impartiality and Suitability	
		to Hear a Case	246
		1. Undisclosed Relationship with the Other Party	246
		2. Personal Relationship with a Party's Principal	
		or Representative	247
		3. Ex Parte Communications between a Party	
		and the Arbitrator about the Case at Hand	248
	В.	Decision and Procedure to Challenge an Arbitrator	248
	C.	Publication of Decision and Award	250

# Part II. During the Hearing

Chapter 10. Opening Statements	255
I. Introduction	256
II. Purposes of an Opening Statement	256
A. Orienting the Arbitrator	256

۲

۲

xv

۲

	-		
		Influencing the Arbitrator—The Three Rs	257
		Influencing the Witnesses	258
III.	Ke	y Elements of an Effective Opening Statement	259
	А.		259
	В.		260
		Principal Persons Involved	261
		Technical Terminology and Technical Processes	262
	E.	Relevant Contract Provisions	263
	F.	Remedy Sought	264
IV.	Str	ategic Issues	265
	А.	When to Make the Opening Statement	265
	В.	Waiving the Opening Statement	266
	C.	Substituting a Written Opening Statement	
		or Prehearing Brief for an Oral Opening Statement	267
	D.	Revealing Weaknesses in the Advocate's Evidence	
		or Arguments	267
V.	For	rm and Manner of Presentation	268
	А.	Length	268
	Β.	Prepared Statement versus Notes	269
		Style	269
VI.	Sar	nple Opening Statements	271
	А.	Sample Employer Opening Statement	271
	В.	Sample Union Opening Statement	272
Chapte	er 1	1. Presenting the Case in Chief	275
·		erview	277
II.	Ore	der of Presentation	277
	A.	Burden of Going Forward	277
		Sequencing the Evidence	277
		1. Leading from Strength	277
		2. Chronological or Other Logical Order	279
		3. Meshing Testimony with Other Evidence	280
		<ol> <li>Maintaining Arbitrator Interest</li> </ol>	280
III.	Exa	amining Witnesses	281
		Admissible Evidence	281
		Procedure for Offering a Witness	282
		Facts versus Opinion and Argument	283

۲

۲

Detailed To	able of	<i>Contents</i>
-------------	---------	-----------------

	D	Opinion Testimony	284
		Properly Framed Questions	285
		Questions Calling for Narrative Answers	285
	1.	1. Leading versus Open-Ended Questions	280
		<ol> <li>Leading versus Open-Linded Questions</li> <li>Use of Notes by Witnesses</li> </ol>	289
		<ol> <li>3. Exceptions to the Rule Prohibiting Witness</li> </ol>	209
		from Using Notes	289
	G	Defining Transitions	209
		Ensuring That the Record Reflects Nonverbal	291
	11.	Testimony	291
	I.	Revealing Weaknesses	291
	ı. J.	Assisting or Rehabilitating the Forgetful	<i>L)L</i>
	Ј.	or Misspeaking Witness	293
		1. The Forgetful Witness	293
		2. The Misspeaking Witness	295
		3. Delayed Rehabilitation	298
	K	The Hostile Witness	299
IV.		roducing Documents and Other Exhibits	301
1		Steps in Introducing Exhibits	301
	1 1.	1. Have the Exhibit Marked for Identification	302
		2. Present a Copy of the Exhibit to the Opposing	
		Advocate	304
		3. Present a Copy of the Exhibit to the Witness	304
		4. Ask the Witness Sufficient Questions About	
		the Exhibit in Order to Lay a Foundation	
		for Its Introduction	305
		5. Offer the Exhibit into Evidence	307
	B.	Voir Dire	308
V.	Us	e of Exhibits in Direct Examination	309
VI.	Ex	amining Expert Witnesses	313
		Establishing Qualifications	313
		Vulnerabilities of the Expert Witness	314
		1. Possible Bias	314
		2. Remuneration for Testimony	315
		3. Previous Writings and Testimony	315
	C.	Eliciting Opinion Testimony from the Expert Witness	316
	D.	Testifying from Personal Observations	317
	E.	Testifying from Information Supplied by Others	318

۲

۲

۲

VII.	Examining Adverse Witnesses	319
	A. Strategy of Calling Adverse Witnesses	319
	B. Calling the Grievant as an Adverse Witness	320
	C. Method for Establishing a Witness as Adverse	321
VIII.	The Advocate as a Witness	321
IX.	Calling Witnesses Out of Order	322
Х.	Examination by the Arbitrator	323
XI.	Site Visitation by the Arbitrator	324
Chapte	er 12. Rules of Evidence	327
	Overview	331
II.	Admissibility Based on Substance versus Form	333
	A. Admissibility Based on Form	333
III.	Substantive Admissibility	335
IV.	Rules of Evidence Based on Substantive Admissibility	336
	A. Relevancy	336
	1. Statement of the Rule	336
	2. Rationale	336
	3. Discussion	338
	4. Linking Up	339
	B. Opinion Testimony	340
	1. Statement of the Rule	340
	2. Rationale	340
	3. Discussion	343
	C. Best Evidence Rule	344
	1. Statement of Rule	344
	2. Rationale	344
	3. Discussion	345
	D. Parol Evidence Rule	345
	1. Statement of Rule	345
	2. Rationale	345
	3. Discussion	346
	E. Privileged Communications	347
	1. Statement of the Rule	347
	2. Rationale	348
	3. Discussion	348
	F. Offers of Compromise and Settlement	350
	1. Statement of the Rule	350

xviii

۲

۲

## Detailed Table of Contents

۲

	2. Rationale	350
	3. Discussion	351
G.	Beyond the Scope of Direct Examination	351
	1. Statement of the Rule	351
	2. Rationale	351
	3. Discussion	352
H.	Hearsay Rule	353
	1. Statement of the Rule	353
	2. Rationale	353
	3. Discussion	354
I.	Nonhearsay versus Exceptions to the Hearsay Rule	356
J.	Exceptions to the Hearsay Rule	357
	1. Declaration or Admission against Interest	357
	2. Spontaneous or Excited Utterance	358
	3. Past Recollection Recorded	360
	4. Business and Public Records	361
	5. State of Mind	363
	6. Prior Testimony	364
	7. Statements Having Independent Legal Significance	365
	8. Prior Inconsistent Statement	367
	9. Other Hearsay Exceptions	368
	10. Concluding Note Concerning Hearsay Exceptions	369
Ru	les of Evidence Based on Form of Questions	370
А.	Lack of Foundation—Lack of Competency	370
	1. Statement of the Rule	370
	2. Rationale	371
	3. Discussion	372
В.	Leading Questions	372
	1. Statement of the Rule	372
	2. Rationale	373
	3. Discussion	373
C.	Assumes Facts Not in Evidence; Misquotes Testimony	374
	1. Statement of the Rule	374
	2. Rationale	374
	3. Discussion	375
D.	Hypothetical Questions	375
	1. Statement of the Rule	375

۲

V.

۲

۲

xix

۲

	2. Rationale	375
	3. Discussion	376
E.	Compound Questions	377
	1. Statement of the Rule	377
	2. Rationale	377
	3. Discussion	378
F.	Questions Calling for Speculation	378
	1. Statement of the Rule	378
	2. Rationale	378
	3. Discussion	379
G.	Ambiguous, Vague, Misleading, and Unintelligible	
	Questions	380
	1. Statement of the Rule	380
	2. Rationale	380
	3. Discussion	381
H.	Argumentative, Harassing, or Badgering Questions	381
	1. Statement of the Rule	381
	2. Rationale	381
	3. Discussion	382
I.	Questions Calling for a Conclusion	383
	1. Statement of the Rule	383
	2. Rationale	383
	3. Discussion	383
J.	Questions Calling for Explanation or Interpretation	
	of a Document	384
	1. Statement of the Rule	384
	2. Rationale	384
	3. Discussion	384
Κ.	Questions Previously Asked and Answered	385
	1. Statement of the Rule	385
	2. Rationale	385
	3. Discussion	386
L.	Cumulative Testimony	386
	1. Statement of the Rule	386
	2. Rationale	386
	3. Discussion	387
M.	Questions That Call for a Narrative Answer	387
	1. Statement of the Rule	387

XX

۲

۲

## Detailed Table of Contents

۲

		2. Rationale	387
		3. Discussion	388
VI.	Spe	ecial Evidentiary Issues	388
	А.	Nonresponsive or Volunteered Testimony	388
		1. Statement of the Rule	388
		2. Rationale	389
		3. Discussion	389
	B.	Judicial/Arbitral Notice	390
		1. Statement of the Rule	390
		2. Rationale	390
		3. Discussion	391
	C.	Offers of Proof	391
		1. Statement of the Rule	391
		2. Rationale	391
		3. Discussion	392
VII.	Un	derstanding and Using the Rules of Evidence	393
Chapte	er 1.	3. Making and Defending against	
		Objections	395
I.	Ov	erview	396
II.	Pu	poses of Making Objections	396
		Excluding and Diminishing the Impact of Evidence	396
	B.	Protecting the Record	397
		Interrupting the Flow of Testimony	397
	D.	Signaling or Instructing the Witness	398
III.		ciding to Object	399
IV.	Tin	ning of Objections	399
V.	Ma	king the Objection	401
	А.	Sensing when Objectionable Questions	
		Are Being Asked	401
	B.	How to Make a Proper Objection	401
VI.	Dea	aling with Overruled Objections	403
	А.	Pursuing the Objection	403
		Excepting to an Adverse Ruling and Registering	
		a Continuing Objection	405
	C.	One Rationale for Contesting Adverse	
		Evidentiary Rulings	406

۲

۲

۲

VII.	Defending against and Defeating	Objections	406
VIII.	Bases for Responding to Sustain	ed Objections	407
	A. Substantive Grounds	U U	407
	B. Common Sense, Fairness, an	d Reliability	
	of Evidence	·	408
	C. Rephrasing the Question		410
	D. Offer of Proof		410
Chapte	er 14. Conducting Cross-Ex	amination	413
Ī.	Overview		415
II.	Objectives of Cross-Examination	l	416
	A. Attack the Credibility of a W	fitness	416
	B. Attack the Reliability of a Po	ortion of a Witness's Testin	nony
	417		
	C. Elicit Favorable Testimony		417
	D. Elicit Contradictory Testimor	ny	418
	E. Elicit Foundational Testimon	у	418
III.	Preparation		419
	A. Research Witnesses		419
	B. Anticipating the Witness's Te	estimony	420
	C. Script the Cross-Examination	of Key Witnesses	421
IV.	Voir Dire versus Cross-Examinat	ion	421
	A. Strategic Value		422
	B. Prelude to Objecting to Testi	mony	422
	C. Prelude to Objecting to Othe	r Evidence	424
	D. Reasons for Deferring to Cro	oss-Examination	425
V.	Tracking Direct Examination to	Prepare	
	for Cross-Examination		426
	A. Careful Listening and Observ	vation	426
	B. Note Taking		427
	C. Obtaining Input from Others	on the Advocate's Team	428
VI.	Deciding Whether to Cross-Exam		429
	A. Damage Report		429
	B. Assessing the Strength of the	e Witness	430
	C. The Nominal or Superficial	Cross-Examination	431
	D. Opening New Areas of Inqui		432
VII.	Style of Conducting Cross-Exam	ination	433
	A. A Gracious and Respectful M		433

xxii

۲

۲

Detailed Tai	ble of	Contents
--------------	--------	----------

xxiii

۲

	В.	Noting Transition Points	434
VIII.	Sec	quencing Questions	435
	А.	Easing into the Critical Areas	435
	В.	Following a Circuitous Path	437
IX.	Do	's and Don'ts of Cross-Examination	437
	А.	DO Use Leading Questions	438
	В.	DON'T Ask Open-Ended Questions	
		or Questions That Ask "Why?"	441
	C.	DO Ask Short, Direct, and Clear Questions	441
	D.	DON'T Ask Questions Whose Answers You	
		Do Not Know	443
	E.	DO Control the Witness	444
	F.	DON'T Ask More Questions than Necessary	446
	G.	DON'T Argue with a Witness	448
	H.	DO Test the Witness's Powers of Perception,	
		Recollection, and Estimation	448
	I.	DON'T Ask the Witness about Recollections	
		or for Approximations	451
	J.	DO Challenge the Testimony of Witnesses Who	
		Appear to Be Giving Rehearsed Testimony	453
	Κ.	DON'T Allow the Opposing Advocate to Coach	
		or Instruct the Witness	455
	L.	DON'T Extend Cross-Examination Longer	
		than Necessary	457
Х.	Im	peaching Witnesses	458
	А.	Tips on Impeaching Witnesses	458
	В.	Specific Areas to Attack	458
		1. Veracity	459
		2. Prejudice or Bias	459
		3. Character and Reputation	461
		4. Interest or Motive	461
		5. Recollection	462
		6. Perception	463
		7. Discrediting Conduct	464
	C.	Steps to Impeach	465
	D.	Summary of Impeachment Techniques	467

۲

۲

۲

Chapte	er 15. Redirect and Recross-Examinations	1.60
	and Rebuttal	469
I.		470
II.	Preemptory Motions: Motions to Dismiss and Motion	
	for Summary Judgment	470
	A. Procedure for Making a Preemptory Motion	471
	B. Value of Preemptory Motions	473
	Recess after Completion of Cases in Chief	474
IV.	Redirect Examination	475
	A. Damage Assessment	475
	B. Damage Repair	476
	C. Routine Redirect Examination	478
V.	Recross-Examination	479
VI.	The Rebuttal Case	481
	A. Damage Assessment and Damage Repair	481
	B. Sandbagging with New Evidence	481
	C. The Witness in Waiting	483
	D. New Theories	484
	E. Calling Witnesses from the Other Side	485
	F. Using a Stronger Witness and Other, More	
	Persuasive Evidence	486
	G. Deciding when Enough Is Enough	486
Chapte	er 16. Closing Arguments	489
I.	Overview	489
II.	Oral Argument versus Written Briefs	490
	A. Strategy of Oral or Written Arguments	490
	B. Opting for Oral Argument	492
	C. Alternative Forms of Briefing	493
III.	Oral Argument	493
	A. Order of Oral Argument	494
	B. Preparation for Oral Argument	494
	C. Carrying through the Theme of the Opening	
	Statement	495
	D. Organization of Oral Argument	495
	1. Issue-Oriented Presentation	496
	2. Evidence-Oriented Presentation	496

۲

۲

2/25/21 3:45 PM

Detailed	Table	of	Contents
----------	-------	----	----------

E.	Dealing with Adverse Evidence and Arguments	
	by the Other Side	497
F.	Advantage of the Party Arguing Last	498
G.	Closing the Argument	500

# Part III. After the Hearing

Chapte	er 1	7. Post-Hearing Briefs	503
Ī.	Ov	rerview	504
II.	An	rangements for Written Briefs	504
	А.	Reply Briefs	505
III.	Pre	eparing to Write a Brief	505
	А.	Reviewing the Transcript	506
	В.	Organizing the Brief	508
		1. Cover Page	509
		2. Introduction	510
		3. Issues Presented	510
		4. Summary of the Facts	512
		5. Pertinent Contract Provisions	514
		6. Arguments	516
		Use of Reported Case Authorities	518
	D.	Conclusion	519
IV.	Ad	ditional Points to Remember in Writing Briefs	521
	А.	Keep It as Brief as Possible	521
	В.		
		in the Record and to Case Authorities	521
	C.	Include Selected Reproductions of Recorded	
		Testimony	523
	D.	Organize Evidence to Enhance Understanding	
		and Persuasiveness	525
	E.	If a Brief Is Lengthy, Prepare a Table of Contents	527
	F.	Stress Equity and Fairness, Not Just Facts	
		and Contract Language	528
	G.	Stress the Burden of Proof where Possible	529
	Η.	Address Remedy	529

۲

۲

۲

xxv

۲

V.	Procedures for Filing Briefs	531
	A. Length and Format	531
	B. Types and Methods of Submission	532
	C. Time of Submission	533
	1. Meaning of Filing Date	533
	2. Extensions of Time	534
	D. Send a Copy to the Client or Party Representative	534
Chapte	er 18. Other Post-Hearing Matters	537
Ī.	Overview	538
II.	Reviewing the Opposing Party's Brief	538
	A. An Untimely Filed Brief	538
	B. Improper Inclusions in a Brief	539
	1. Challenging Evidence that Was Not Admitted	540
	2. Challenging a Blatant Misrepresentation	540
III.	Sending the Opposing Side's Brief to the Principals	541
IV.	Debriefing Witnesses and Observers	541
	A. Debriefing Witnesses	541
	B. Educational Value to Witnesses and Observers	542
	C. Correcting Practices or Contract Interpretations	543
V.	Dealing with Newly Discovered Evidence	543
	A. Evaluating Importance and Value of Evidence	544
	B. Reason for Late Discovery	544
	C. Relevance and Importance of New Evidence	545
	D. Means of Incorporating New Testimony	545
	E. Unlikelihood of Reopening the Case	546
VI.	The Deliberative Process—Boards of Arbitration	546
VII.	Delays in Issuance of an Award	548
	A. Impact of Delay	548
	B. Protesting Delays in Issuing Awards	549
VIII.	Receiving and Reviewing the Decision and Award	550
	A. Analysis of Decision and Award	550
	B. Compliance with the Award	551
	1. Back Pay Awards	552
	2. Other Types of Make-Whole Remedies	553
	3. Cease-and-Desist Orders	554

xxvi

۲

۲

		Detailed Table of Contents	xxvii
		<ol> <li>Punitive Damages, Attorney's Fees and Interest</li> <li>Awards with General Directives and Retained</li> </ol>	555
		Jurisdiction	555
Chapte	er 1	9. Challenging the Award	557
Ī.	Ov	verview	558
II.	Leg	gal Authority to Vacate an Arbitrator's Decision	559
III.	De	ciding to Challenge	560
	A.	Assessing the Impact of the Decision and Award	560
		Strategic Issues to Consider	562
		1. Impact on Union–Management Relationship	562
		2. Influence on the Moving Party–Arbitrator	
		Relationship	563
		Assessing the Chances of Success	564
	D.	Alternatives to Court Action	564
		1. Buy-Out of Award	564
		2. Modification/Correction of Award	
		by the Arbitrator	565
IV.	Gre	ounds for Vacating an Arbitration Award	566
	А.	Fraud and Undue Influence	567
		1. Bases for Fraud and Undue Influence	568
		2. Defending against an Attempt to Vacate	
		for Fraud or Undue Influence	569
	B.	Decision and Award Exceeds the Arbitrator's	
		Authority	569
		1. Examples of Rulings of Arbitrators Exceeding	
		Their Authority	570
		2. Defending against Attack Based	
		on Exceeding Authority	571
	C.	Procedural Errors	572
		1. Means of Selecting and Appointing the Arbitrator	572
		2. Lateness of Award	572
		3. Improper Procedures in the Hearing	573
		4. Defending against Attempted Vacatur Based	
		on Procedural Errors	574
	D.	Decision Did Not Draw Its Essence from the Labor	
		Agreement	575

۲

۲

۲

	E. Decision Is against Public Policy or Contrary to Law	579
	1. Against Public Policy	579
	2. Contrary to Laws and/or Decisions of Courts	
	or Administrative Agencies	581
V.	Summary of Challenges to Awards	582

# Part IV. Advanced Advocacy Skills

Chapter 20.		20. Advocates' Best and Worst Practices:	587	
		Arbitrators' Perspectives	588	
_				
II				
	А.	Before the Hearing	589	
		1. Gathering Evidence and Structuring the Case	589	
		2. Possible Settlement	590	
		3. Preparing Documentary Evidence, Exhibits,		
		Issue Statement, and Coordinating with Opposing		
		Counsel Regarding These Matters	591	
		4. Practical Preparations for the Hearing	593	
		5. Preparing Witnesses	594	
	В.	During the Hearing	595	
		1. Advocate's Behavior	595	
		2. Opening Statement	596	
		3. Examination and Cross Examination	597	
		4. Closing Argument	598	
	C.	After the Hearing	599	
		1. Post-Hearing Briefs	599	
		2. Filing Deadlines	599	
III	. Wo	orst Practices	600	
	А.	Before the Hearing	600	
	B.	During the Hearing	600	
		1. Opening Statement	600	
		2. Examination	601	
		3. Cross-Examination	602	
	C.	After the Hearing	602	
		1. Post-Hearing Briefs	602	

۲

۲

2/25/21 3:45 PM

Detailed Tab	ole of	Contents	
--------------	--------	----------	--

xxix

۲

Chapte	er 21. Blueprint of a Grievance	
	Arbitration Case	605
I.		606
II.		607
III.		607
IV.	1 1 5	641
	A. Acme Gases Terminated Grievant for Just Cause	
	Because the Grievant Engaged in Multiple	
	Dishonest Acts	641
	1. The Evidence Establishes That Grievant Engaged	
	in Serious Misconduct	641
	2. The Arbitrator Should Credit Rizzardi	
	over Grievant's Self-Serving Denials	642
	3. Grievant's Illicit Offers to Sell Company Property	
	on the Side for Cash Constitute Attempted Theft	643
	B. In Light of Grievant's Proven Dishonesty,	
	Termination Was the Appropriate Disciplinary	
	Measure	645
	1. Under the CBA, Dishonesty Is a Terminable	
	Offense in the First Instance	645
	2. Because Grievant Held a Position of Trust	
	Regarding Company Property, His Proven	
	Dishonesty Constitutes Just Cause for Discharge	646
	3. In the Alternative, the Arbitrator Should Not	
	Disturb the Company's Decision to Discharge	
	Grievant Since It Was Not Discriminatory,	
	Arbitrary, or Capricious	647
V.	Excerpts from the Union's Brief	647
	A. The Testimony Relating to Arnold's Alleged Offer	
	to Sell CO2 Gas	647
	1. The Alleged Solicitation of Bill Rizzardi	648
	2. The Evidence Relating to the Alleged Solicitation	
	of Britt	649
VI.	Argument	650
	A. Introduction: The "Scam"	650
	B. The Alleged Solicitation of Rizzardi	651
	C. The Alleged Solicitation of Britt	652

۲

۲

Labor .	Arbitration	Practice
---------	-------------	----------

		D.	Apart from the Inherently Implausible Nature of Rizzardi's Story, His Testimony	
	Is Not Credible			653
VII.	VII. Excerpts from the Arbitrator's Decision and Award			655
VIII.		nclus		662
Chapter 22.		2.	Interest Arbitration and Other	
Ĩ			Labor Arbitration Variations	663
I.	Ov	ervie	ew	665
II.	Inte	erest	Arbitration	666
	A.	Fun	nction of Interest Arbitration Compared	
			h Grievance Arbitration	666
	B.	Aut	thority for Interest Arbitration	667
	C.	Inte	erplay of Interest Arbitration and Contract	
		Neg	gotiations	667
		1.	Should the Chief Contract Negotiator Also Be the	
			Interest Arbitration Advocate?	668
		2.	Deciding Which Issues to Resolve in Negotiations	
			and Which to Carry into Interest Arbitration	669
		3.	"Playing Chicken" versus "Bird in the Hand"	670
		4.	Using Interest Arbitration as "Cover"	
			for the Negotiators	671
	D.	Ger	neral Considerations in Preparing for Interest	
		Arb	pitration	672
		1.	Begin Preparation Well in Advance of the Time	
			when It Is Known That an Interest Arbitration	
			Will Be Required	672
		2.	Advocates Are Advised to Rely on Others	
			to Gather Data and Other Information, But	
			to Actively Participate in the Analysis and	
			Preparation of the Data for Presentation	672
		3.	Review Prior Interest Arbitration Decisions	673
		4.	Review Statutes, Regulations, and Decisional	
			Law for Guidance	673
		5.	Selecting the Interest Arbitrator	673

۲

۲

Detailed	Table	of	Contents
----------	-------	----	----------

xxxi

۲

	E.	Criteria on Which Interest Arbitration Decisions	
		Are Based	674
		1. Comparability of Prevailing Wages, Benefits,	
		and Practices	675
		2. Historical Relationships and Historical Patterns	676
		3. Ability/Inability to Pay	676
		4. Cost of Living Changes	677
		5. Pre-Arbitration Positions	678
		6. Productivity Changes	678
		7. Other Criteria	679
	F.	Selecting Comparable Jurisdictions/Employers/Work	
		Units	679
		1. Size of Political Jurisdiction/Employer	680
		2. Size of the Work Force/Bargaining Unit	681
		3. Physical Proximity to the Subject Jurisdiction	
		or Workplace	682
		4. Physical Proximity to a Major Metropolitan Area	682
		5. Sharing of a Common Labor Market	683
		6. Similarity of Products, Services, and Work	
		Requirements/Employment Qualifications	684
		7. Revenue-Generating Capability	
		of Governmental Units	685
		8. Union/Non-Union Status of Work Force	685
		9. Internal Comparisons	686
	G.	Selecting the Most Appropriate Comparative	
		Jurisdictions or Work Groups	686
	H.	Analyzing and Presenting Wage and Benefit Data of	
		Selected Comparative Jurisdictions or Work Groups	689
		1. Wage and Salary Analysis and Comparisons	689
		2. Benefit Comparisons	691
	I.	Presenting the Case and Making the Arguments	691
		1. Form of Presentation	691
		2. Use of Witnesses	691
		3. Presentation of Data and Other Information	692
		4. Refuting the Other Side's Case	693
		5. Arguments in Post-Hearing Briefs	694
III.	Fac	ct Finding or Advisory Arbitration	694

۲

۲

۲

IV. Med	-Arb	695
V. Fina	l Offer Selection or "Last Best Offer"	
Inter	est Arbitration	696
A. I	ssue-by-Issue versus Total Package Final	
(	Offer Selection	697
Appendix A	Federal Mediation and Conciliation Service	
rippendix ri	(FMCS) Office of Arbitration Services—	
	Policies & Procedures	699
A nu ou din D		077
Appendix B	National Academy of Arbitrators (NAA), AAA	
	and FMCS- Code of Professional Responsibility	
	for Arbitrators of Labor-Management Disputes	713
Appendix C	American Arbitration Association (AAA)—	
	Labor Arbitration Rules	737
Appendix D	Federal Rules of Evidence	765
Index		791

۲

xxxii

۲