

Table of Contents

Preface

Introduction—The Grievance Arbitration Process

Is Arbitration Adjudication?	13
Is It Public or Private?	13
Is Arbitration A Contest?	13
What Do Arbitrators Do?	14
What Powers Do Arbitrators Have?	15
Does Arbitration Work?	15

I. BEFORE THE HEARING

1. Processing the Grievance

The Grievance Procedure	19
Investigating the Grievance	21
Grievance Meetings	21
Missing Time Limits—And What To Do	22
Union’s Duty of Fair Representation	23
Sample Grievances	26
Grievance Investigation Report	30

2. Proceeding to Arbitration

Giving Notice to Arbitrate	33
Appointing the Nominee	33
Selecting the Arbitrator	34
Expedited Arbitration	35
Scheduling the Hearing	36
Notice of Hearing	37
Notice of Evidence	37
Particulars and Production	37
Adjournments	38
Grievance Mediation	38

Notice of Referral to Arbitration	40
Request to Appoint Arbitrator (Conventional Arbitration)	41
Request to Appoint Arbitrator (Expedited Arbitration)	42
Sample Minutes of Settlement	44
3. Preparing the Case	
The Essential Steps	45
Organizing the Arbitration Brief	45
Ascertaining the Facts	47
Identifying the Issues	47
Developing a Theory of the Case	47
Researching the Law	48
Preparing Your Opening Statement and Final Argument in Advance	49
4. Preparing Witnesses	
The Initial Interview	51
Prepare, Don't Coach	52
Ask for Statements	52
Draw Out The Whole Story	53
Question Witnesses Separately	54
Interview Opposing Witnesses, Too	54
The Final Interview	55
Caution Your Witnesses	56
Preparing the Expert Witness	57
Map Out Cross-Examination	57
Plan the Evidence	57
Subpoenas to Witnesses	58
Summons to Attend Hearing	60
Witness Fees and Expenses	61
Advice to Witnesses in Arbitration Proceedings	62
5. Obtaining Documents and Particulars	
Requesting Particulars of Facts	65
Requesting Production of Documents	65

II. DURING THE HEARING

6. Procedure at the Hearing	
Arbitration Practice	69
Appearances	69
Preliminary Objections	69
Exclusion of Witnesses	70

Who Proceeds First?	70
You Can't Split Your Case	71
The Order of Calling Witnesses	72
Calling the Grievor	72
Moving for Non-Suit	73
Presenting Argument	73
Closing Your Case	74
Preliminary Objections and How to Handle Them	75
7. Opening Statements	
The Essential Elements	77
Don't Telegraph the Evidence	78
Be Flexible	78
Don't Anticipate	78
Retain Control	79
Specify the Remedy	79
8. The Rules of Evidence	
The Burden of Proof	81
The Standard of Proof	81
The Arbitrator's Power to Admit Evidence	81
Relevance and Exclusionary Rules	82
The Rule Against Hearsay	82
Business Records	84
Medical Reports	84
Privilege	85
The Collateral Facts Rule	85
Proof of Documents	85
The Best Evidence Rule	86
The Rule Against Self-Serving Statements	86
Character Evidence	86
Similar Fact Evidence	87
Expert Evidence	87
The Parole Evidence Rule	87
Current Trends	88
9. Examining Your Own Witness: Examination-In-Chief	
The Purpose of Examination-in-Chief	89
Leading Questions Restricted	89
Refreshing the Witness' Memory Allowed	90
Cross-Examination Not Permitted Unless Witness Hostile	91
Hearsay Questions Limited	92

Questions Must Be Relevant	92
Collateral Questions Not Allowed	93
Opinion Evidence Limited	93
Handling Objections	93
Taking Notes	93
Give Your Witness Advice	94
Spotlight the Witness	94
Focus on the Facts	94
Make Your Questions Clear and Interesting	95
Introducing Documents	95
Questioning Your Expert Witness	96
Failing to Call a Material Witness	96
One Last Word	96
Common Objections to Questions Asked in Chief	97
Common Objections to the Introduction of Documents	98

10. Cross-Examination

The Purpose of Cross-Examination	99
Should You Cross-Examine?	99
Preparing Cross-Examination	100
Dealing With Documents	101
Engage the Witness	101
Pay Attention to the Arbitrator	101
Taking Notes	101
Discrediting the Witness	101
Turning Witnesses to Your Advantage	102
Collateral Questions As to Credibility	103
Cross-Examining on Notes Used to Refresh Memory	103
Raising Prior Inconsistent Statements	103
Cross-Examining About Criminal Record	104
Give the Witness A Chance to Explain	104
Don't Suggest Misconduct You Can't Prove	105
Querying the Failure to Call a Witness	105
Can You Cross-Examine a "Friendly" Witness?	106
Hearsay Questions Limited	106
Opinion Evidence Restricted	106
Privileged Matters Out of Bounds	106
Questioning Must Be Directed	106
Avoid Open-Ended Questions	107
Step By Step Questioning	107

Closing the Escape Hatches	107
Don't "Retravel Direct"!	107
Unsettling the Witness	108
Questioning—Friendly or Aggressive?	108
Don't Go Too Far	109
Driving the Witness to Extremes	109
Suggesting the Opposite	109
Dialogue with the Witness	109
Make it Clear and Simple	109
Don't React	110
Don't be Argumentative	110
Asking About Witness Preparation	110
Dealing with Obstructive Tactics	110
Cross-Examining the Expert	111
Caution the Witness	111
A Final Note	111
Common Objections to Cross-Examination	112
Communicating With Witnesses Giving Evidence	113

11. Re-Examination

The Purpose of Re-Examination	115
The Technique of Re-Examination	115
Objecting to Re-Examination	115

12. Presenting Final Argument

The Nature of Argument	117
The Order of Presentation	117
The Essential Elements	117
The Manner of Presentation	118
The Issues	119
Reviewing the Evidence	119
Analyzing The Collective Agreement	122
Presenting Legal Argument	124
Citing Relevant Authorities	125
Requesting The Remedy	127
Arguing In Rebuttal	127
Delivering Reply Argument	128
Sources of Arbitration Law	128
Abbreviations and Citations	132
Illustration of Case Citation	133
Footnotes and Headnotes	134

III. AFTER THE HEARING

13. Issuing the Award

Deliberations	137
Sources	137
Remedies	137
Time Limits	138
Reserving Jurisdiction	138
Re-Opening the Hearing	138
Amending the Award	138
Costs	139

14. Enforcement and Judicial Review

Enforcing the Award	141
Reviewing the Award	141

Conclusion—The Ethics of Advocacy 143

Appendices

1. Ontario Evidence Act	147
2. Rules of Civil Procedure	150
3. <i>Re Winchester Memorial Hospital</i>	151
4. <i>Re Greater Niagara Transit Commission</i>	159
5. Rules of Professional Conduct	161
6. Arbitrators' Code of Ethics	167
7. <i>Bradco Construction Ltd.</i>	171
8. <i>Université du Québec</i>	172

Glossary 189

Index 203