CHAPTER 3: ARBITRATION FUNDAMENTALS: PROCESS AND PROCEDURES

I. WHAT IS ARBITRATION AND HOW DOES IT FIT INTO THE FEDERAL PROCESS? ................................................................. 33
II. THE FLRA AND THE KINDS OF CASES HEARD IN ARBITRATION ............................................................................... 33
III. A CLOSER LOOK AT SPECIFIC CATEGORIES OF CASES ....................................................................................... 34
   A. UNACCEPTABLE PERFORMANCE AND SERIOUS ADVERSE ACTIONS ................................................................. 34
   B. PROHIBITED DISCRIMINATION CASES (RACE, COLOR, RELIGION, NATIONAL ORIGIN, SEX, EEO REPRISAL, AGE, OR DISABILITY) .................................................................................. 35
   C. PROHIBITED PERSONNEL PRACTICE CASES UNDER 5 USC 2302 ........................................................................ 35
   D. AN UNFAIR LABOR PRACTICE CLAIM ....................................................................................................................... 35
IV. THE ARBITRATION PROCESS, BRIEFLY .................................................................................................................... 35
V. CHOOSING AN ARBITRATOR AND RELATED MATTERS ............................................................................................. 38
VI. AN ARBITRATOR’S REMEDIAL AUTHORITY ........................................................................................................... 39
VII. REVIEW OF AN ARBITRATOR’S DECISION .............................................................................................................. 40
   A. WHERE THE ARBITRATOR’S DECISION AND AWARD ARE WITHIN THE JURISDICTION OF THE FLRA ............ 40
   B. WHERE THE ARBITRATOR’S DECISION AND AWARD ARE NOT WITHIN THE JURISDICTION OF THE FLRA ...... 40

CHAPTER 4: PROOF REQUIREMENTS: WHAT TO PROVE, HOW TO PROVE IT ................................................................. 41

I. PROOF REQUIREMENTS: THE CHARGE .......................................................................................................................... 41
   A. CHARGE ADVOCACY, PROOF REQUIREMENTS, COMMON ERRORS ................................................................. 42
II. NEXUS, SERVICE EFFICIENCY ........................................................................................................................................ 44
   A. ADVOCACY AND NEXUS ........................................................................................................................................ 45
III. PENALTY REASONABLENESS ....................................................................................................................................... 48
   A. PENALTY DEFERENCE ......................................................................................................................................... 48
   B. ADVOCACY AND THE PENALTY ............................................................................................................................ 49
      1. Attacking the Penalty on Deposition ................................................................................................................... 50
      2. Selling the Penalty on Direct and the Crucial Douglas Factors ......................................................................... 50
      3. Other Common Mistakes: What to Attack, What to Defend, What to Correct .................................................. 51
IV. AFFIRMATIVE DEFENSES .............................................................................................................................................. 53
   A. HARMFUL PROCEDURAL ERROR ......................................................................................................................... 53
   B. PROHIBITED PERSONNEL PRACTICES ................................................................................................................. 55
      1. Discrimination .................................................................................................................................................... 56
CHAPTER 5: PREAPPEAL ADVOCACY: CRITICAL EMPLOYEE OR AGENCY CONSIDERATIONS ..........89

I. AGENCY FACT-FINDING ........................................................................................................... 89
   A. PLANNING THE INVESTIGATION ....................................................................................... 89
   B. DOCUMENT REVIEW ......................................................................................................... 90
   C. WITNESS INTERVIEWS ..................................................................................................... 90
   D. PRIVACY ACT RESTRAINTS ON AGENCY INVESTIGATIONS .......................................... 91
   E. AGENCY WARNINGS AND THE DUTY TO COOPERATE AND RESPOND ....................... 92
   F. REPRESENTATION IN AGENCY INQUIRY ......................................................................... 94
   G. WORKPLACE SEARCHES .................................................................................................. 95
II. THE FRONT END REQUIREMENTS ......................................................................................... 95
III. THE AGENCY PROPOSAL NOTICE: THE DOCUMENT OF UNPARALLELED IMPORTANCE ....... 95
    A. CHARGING ADVOCACY .................................................................................................. 95
       1. The Parts to a Charge ..................................................................................................... 96
       2. The Rules on Proving Charges ....................................................................................... 96
       3. The Kinds of Charges ................................................................................................... 97
       4. Narrative and General Charges vs. Specific Label Charges ......................................... 98
       5. Styling Charges; Conjunctive Charges ........................................................................ 98
       6. The Use of Alternative, Easier-to-Prove Charges ........................................................ 98
       7. A Few Key Charges ..................................................................................................... 98
       8. Words Matter ............................................................................................................... 100
    B. THE PROPOSAL MUST NOTICE AGGRAVATING FACTORS FOR THE PENALTY .......... 101
    C. THE PROPOSAL MUST NOTICE THE EMPLOYEE’S ENTITLEMENTS ......................... 102
<table>
<thead>
<tr>
<th>Chapter</th>
<th>Section</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>IV.</td>
<td>Admission Requests</td>
<td>102</td>
</tr>
<tr>
<td>III.</td>
<td>Interrogatories</td>
<td>102</td>
</tr>
<tr>
<td>IV.</td>
<td>The Oral, Written Response: The Agency, The Employee</td>
<td>103</td>
</tr>
<tr>
<td>V.</td>
<td>Working with Proposing and Deciding Officials, Preappeal</td>
<td>105</td>
</tr>
<tr>
<td>VI.</td>
<td>Rights, Limitations, and Constitutional Restraints</td>
<td>106</td>
</tr>
<tr>
<td>VII.</td>
<td>Additional Fact-Gathering and How to Do It</td>
<td>108</td>
</tr>
<tr>
<td>VIII.</td>
<td>The Agency Decision Notice</td>
<td>109</td>
</tr>
<tr>
<td></td>
<td>A. The Decision Notice and the Charges</td>
<td>109</td>
</tr>
<tr>
<td></td>
<td>B. The Decision Notice and the Penalty</td>
<td>110</td>
</tr>
<tr>
<td>IX.</td>
<td>After the Final Decision: Staying on Message</td>
<td>113</td>
</tr>
<tr>
<td>CHAPTER 6:</td>
<td>Winning (Not Losing) on Discovery</td>
<td>115</td>
</tr>
<tr>
<td>I.</td>
<td>Board Discovery Procedures</td>
<td>115</td>
</tr>
<tr>
<td></td>
<td>A. Rules, Regulations</td>
<td>115</td>
</tr>
<tr>
<td></td>
<td>1. Initial Disclosures</td>
<td>116</td>
</tr>
<tr>
<td></td>
<td>B. The Scope and Methods of Board Discovery</td>
<td>116</td>
</tr>
<tr>
<td></td>
<td>C. The Timing of Discovery</td>
<td>117</td>
</tr>
<tr>
<td></td>
<td>1. Case Suspension Procedures</td>
<td>118</td>
</tr>
<tr>
<td></td>
<td>D. The Discovery Plan</td>
<td>118</td>
</tr>
<tr>
<td></td>
<td>E. Nonparty Discovery</td>
<td>118</td>
</tr>
<tr>
<td></td>
<td>F. Motions to Compel</td>
<td>119</td>
</tr>
<tr>
<td>II.</td>
<td>Document Production</td>
<td>120</td>
</tr>
<tr>
<td></td>
<td>A. The Ground Rules</td>
<td>120</td>
</tr>
<tr>
<td></td>
<td>B. What to Ask For</td>
<td>121</td>
</tr>
<tr>
<td></td>
<td>1. Agency Requests</td>
<td>121</td>
</tr>
<tr>
<td></td>
<td>2. Employee Requests</td>
<td>121</td>
</tr>
<tr>
<td></td>
<td>C. How to Ask for It</td>
<td>122</td>
</tr>
<tr>
<td></td>
<td>1. Instructions and Definitions</td>
<td>123</td>
</tr>
<tr>
<td></td>
<td>2. What to Do When You Get the Response</td>
<td>123</td>
</tr>
<tr>
<td></td>
<td>D. How to Respond to a Production Request</td>
<td>124</td>
</tr>
<tr>
<td></td>
<td>1. Confidential Documents</td>
<td>124</td>
</tr>
<tr>
<td>III.</td>
<td>Interrogatories</td>
<td>124</td>
</tr>
<tr>
<td></td>
<td>A. The Ground Rules</td>
<td>125</td>
</tr>
<tr>
<td></td>
<td>B. Drafting Effective Interrogatories</td>
<td>126</td>
</tr>
<tr>
<td></td>
<td>1. Instructions and Definitions</td>
<td>126</td>
</tr>
<tr>
<td></td>
<td>2. A Three-Step Approach to Crafting Effective Interrogatories</td>
<td>127</td>
</tr>
<tr>
<td></td>
<td>a. Step One: Open With a Statement of Relevance</td>
<td>127</td>
</tr>
<tr>
<td></td>
<td>b. Step Two: Group Similar, Related Interrogatories</td>
<td>127</td>
</tr>
<tr>
<td></td>
<td>c. Step Three: Crafting the Concise, Clear Interrogatory</td>
<td>128</td>
</tr>
<tr>
<td></td>
<td>C. Answering Interrogatories</td>
<td>128</td>
</tr>
<tr>
<td></td>
<td>D. Objections, Protective Orders</td>
<td>128</td>
</tr>
<tr>
<td></td>
<td>E. Model Interrogatories</td>
<td>129</td>
</tr>
<tr>
<td>IV.</td>
<td>Admission Requests</td>
<td>130</td>
</tr>
<tr>
<td></td>
<td>A. Sanctions; Putting Teeth into Admission Requests</td>
<td>131</td>
</tr>
<tr>
<td></td>
<td>B. Responding to a Request for Admissions</td>
<td>132</td>
</tr>
<tr>
<td>V.</td>
<td>The Winning Deposition</td>
<td>132</td>
</tr>
<tr>
<td></td>
<td>A. The Rules</td>
<td>132</td>
</tr>
<tr>
<td></td>
<td>B. Who to Depose</td>
<td>133</td>
</tr>
<tr>
<td></td>
<td>C. The Mechanics</td>
<td>133</td>
</tr>
<tr>
<td></td>
<td>1. The Formalities</td>
<td>134</td>
</tr>
<tr>
<td></td>
<td>2. Starting the Deposition: Instructions</td>
<td>134</td>
</tr>
<tr>
<td></td>
<td>D. Deposition Questioning: What to Ask, How to Ask It</td>
<td>134</td>
</tr>
<tr>
<td></td>
<td>1. Funnel Questioning</td>
<td>135</td>
</tr>
<tr>
<td></td>
<td>a. Phase One, the Opening Phase</td>
<td>135</td>
</tr>
<tr>
<td></td>
<td>b. Phase Two, the Narrowing, Clarifying Phase</td>
<td>135</td>
</tr>
<tr>
<td></td>
<td>c. Phase Three, the Closeout Phase</td>
<td>135</td>
</tr>
<tr>
<td></td>
<td>2. Useful Questioning Techniques</td>
<td>136</td>
</tr>
</tbody>
</table>
### TABLE OF CONTENTS

#### III. HOW TO QUESTION ON DIRECT

A. THREE FORMS OF QUESTIONS

B. THE LEADING QUESTION
   1. The Quick Fix
   2. The Better Fix

C. THE OPEN QUESTION

D. THE CLOSED QUESTION

#### IV. HOW TO QUESTION ON DIRECT: KEYS TO CLARITY AND PERSUASION

A. KEY 1: SIMPLE, SHORT, SINGLE-FACT QUESTIONS
   1. Avoid the Compound Question
   2. Beware of Charactizations, Conclusions
   3. Eliminate Negatives

B. KEY 2: PROPER USE OF THE CLOSED QUESTION

C. KEY 3: TRANSITIONAL, DIRECTIVE, AND SECTIONAL QUESTIONS

D. KEY 4: EMPHASIZING KEY POINTS
   1. Repetition and Looping
   2. Repetitive Summary
   3. Signaling Key Points

E. KEY 5: CLEAR, VIVID WORD CHOICE
   1. Use Clear, Everyday, Concrete, Positive Language; Avoid Cliches
   2. Use Vivid, Thematic Words

F. KEY 6: CLEAR FOUNDATIONS

G. KEY 7: KNOW HOW AND WHEN TO USE THE LEADING QUESTION
   1. Do Not Lead on Substantive Testimony
   2. Lead on Mundane, Housekeeping Matters

#### V. SPECIAL QUESTIONING TECHNIQUES AND SITUATIONS

A. REFRESHING RECOLLECTION
   1. Questioning to Refresh Recollection
   2. Using Documents to Refresh Recollection
   3. Past Recollection Recorded

B. REDIRECT
   1. Rehabilitation

C. FOUNDATIONS
   1. Foundations for Exhibits, Documents
   2. Identifying Tangible Evidence; Chain of Custody
   3. Demonstrative Exhibits

#### VI. MEETING COMMON OBJECTIONS ON DIRECT EXAMINATION

#### VII. ANNOTATED MODEL OF DIRECT

#### VIII. REDUX: EFFECTIVE DIRECT

### CHAPTER 9: THE WINNING CROSS-EXAMINATION

I. THE FUNDAMENTALS, RULES AND LAW OF CROSS

A. THE SCOPE OF CROSS-EXAMINATION

B. THE RULE ON LEADING QUESTIONS

II. WHAT TO ASK ON CROSS AND WHEN TO ASK IT

A. THE PREDICATE QUESTION: TO CROSS OR NOT IS A CONSCIOUS, DELIBERATE DECISION

B. WHAT CROSS-EXAMINATION IS NOT

C. CONSTRUCTIVE AND DESTRUCTIVE CROSS-EXAMINATION

D. TARGETS, OBJECTIVES ON DESTRUCTIVE CROSS-EXAMINATION
   1. Credibility
   2. Reliability
   3. Implausibility
   4. Inconsistencies
   5. Impeachment by Prior Inconsistent Statements
   6. Impeachment by Prior Inconsistent Conduct
   7. Perception
   8. Recollection
   9. Account

E. PREPARATION FOR CROSS-EXAMINATION
III. HOW TO QUESTION ON CROSS

A. THE LEADING QUESTION

1. Interrogative Phrases
2. The Declarative Statement or Factual Assertion
3. Our Desired Answer: a Single, Clean Fact

B. THE CLOSED QUESTION

C. THE OPEN QUESTION

D. CROSS-EXAMINATION CHECKLIST

IV. SEVEN KEYS TO CLARITY AND PERSUASION ON CROSS

A. NEVER ASK A QUESTION FOR WHICH YOU DO NOT KNOW THE ANSWER
B. NEVER ASK “WHY,” THE ULTIMATE QUESTION, OR ALLOW THE WITNESS TO EXPLAIN
C. MAINTAIN CONTROL OF THE EXAMINATION
D. LISTEN METICULOUSLY TO EVERY WORD
E. IMPEACHMENT BY JUXTAPOSING THE INCONSISTENT STATEMENTS
F. MAINTAIN AN APPROPRIATE PACE: LIMIT POINTS, LEAD, AND HAVE IMPEACHMENT MATERIALS IMMEDIATELY AVAILABLE
G. ORGANIZING AND SEQUENCING THE CROSS

V. MODEL OF CROSS-EXAMINATION

VI. COLD CROSS IN ARBITRATIONS AND APPEALS

VII. COMMON OBJECTIONS ON CROSS

A. RELEVANCE
B. THE SCOPE OF CROSS EXAMINATION
C. ARGUING WITH THE WITNESS
D. ASSUMING FACTS NOT IN EVIDENCE
E. COMPOUND QUESTIONS
F. VAGUE QUESTIONS
G. THE RULE AGAINST INTIMIDATION
H. ASKED AND ANSWERED

VIII. DO’S AND DON’TS FOR WINNING ON CROSS

CHAPTER 10: ORAL AND WRITTEN ADVOCACY: THE OPENING, CLOSING, POSTHEARING BRIEF, THE PETITION FOR REVIEW

I. THE OPENING STATEMENT

A. THE PURPOSE OF THE OPENING STATEMENT
B. THEORY AND THEME
C. FACTS AND LAW
D. ESSENTIALS
E. COMMON ERRORS
F. PREPARING AND DELIVERING THE OPENING STATEMENT
G. NEVER WAIVE OR DEFER AN OPENING STATEMENT

II. CLOSING STATEMENTS

A. STRUCTURING AN EFFECTIVE CLOSING
B. PREPARING AND DELIVERING THE CLOSING

III. THE FORMAT FOR A PETITION FOR REVIEW OR POSTHEARING BRIEF

A. FORMAT AND FRONT MATTER

1. Table of Contents
2. Table of Authorities

B. OPENING PARAGRAPHS

1. Referring to the Client and the Opposition

C. STATEMENT OF ISSUES

1. Framing Effective Issues
2. Crafting Persuasive Issues
3. Ordering Issues

D. STATEMENT OF FACTS

E. ARGUMENT

1. Make Argument Headings Work
2. Argument and Tone
3. Downplay Opposing Arguments
4. Conceding Points and De-Emphasis Through Subordination
### Table of Contents

**I. LOTs OF SETTLEMENTS** ................................................................. 277

**II. SETTLEMENT RULES AND PROCEDURES: MSPB** ......................... 277

**III. SETTLEMENT RULES AND PROCEDURES: ARBITRATION** ............ 278

**IV. ADVOCACY IN WRITING: SOME MECHANICS** ............................... 279
   A. READER EXPECTATIONS .......................................................... 279
   B. SENTENCE STRUCTURE ....................................................... 279
   C. SENTENCE UNITY, LINKAGE ................................................ 280
   D. PARAGRAPHS ........................................................................ 280
   E. PUNCTUATION ....................................................................... 280
   F. PARALLEL STRUCTURE ....................................................... 281
   G. VOICE .................................................................................... 281

**V. TECHNIQUES OR APPROACHES** ................................................. 282

**VI. LEGAL PRINCIPLES** ................................................................. 283

**VII. SETTLEMENT OPTIONS** ............................................................ 284

**VIII. INTEGRATION CLAUSES** ........................................................... 284

**IX. RELEASE OR WAIVER CLAUSES** ............................................ 285
   A. ALL SETTLEMENTS ARE GLOBAL ........................................ 285
   B. SPECIFIC, EXPLICIT WAIVERS ........................................... 285
   C. INDIVIDUAL AND OFFICIAL CAPACITY ................................. 285
   D. SUGGESTED RELEASE LANGUAGE ....................................... 285

**X. SELF-EXECUTING CLAUSES** ...................................................... 286
   A. SUGGESTED SELF-EXECUTING CLAUSE ............................... 286
   B. CLAUSES THAT WAIVE RIGHTS IN EVENT OF DEFAULT .......... 286

**XI. CLEAN PAPER OR EXPUNGEMENT CLAUSES** ......................... 287

**XII. NEUTRAL REFERENCE CLAUSES** ............................................ 287
   A. SUGGESTED CLAUSES ....................................................... 287
   B. CLAUSES NOT SUGGESTED ............................................... 287

**XIII. CONFIDENTIALITY CLAUSES** ................................................ 288
   A. SUGGESTED CONFIDENTIALITY CLAUSE ............................. 288

**XIV. PRIORITY CONSIDERATION CLAUSES** .................................... 288

**XV. NO HARASSMENT CLAUSES** .................................................... 289
   A. IMPLIED COVENANT OF GOOD FAITH ................................ 289
   B. EXPRESSED COVENANT OF GOOD FAITH ........................... 289

**XVI. NOTICE, WAIVER, AND CURE CLAUSE** ................................ 289

**XVII. LAST CHANCE AGREEMENT CLAUSES** .................................. 289
   A. SUGGESTED LAST CHANCE AGREEMENT CLAUSES .......... 289

**APPENDIX 1: SAMPLE OPPORTUNITY NOTICE—EXAMPLE ONE** ............ 290

**APPENDIX 2: SAMPLE OPPORTUNITY NOTICE—EXAMPLE TWO** ............ 292