

ARTICLE 9
GRIEVANCE PROCEDURE

A. DEFINITION AND GENERAL PROVISIONS

1. A grievance is a written complaint by an individual employee, a group of employees, or AFSCME that the University has violated a specific provision of this Agreement.
2. Only one (1) subject matter shall be covered in any one (1) grievance. A grievance shall contain a clear and concise statement of the grievance by indicating the issue involved, the relief sought, the date the incident or violation took place and the specific Section or Sections of the Agreement involved. The grievance shall be presented to the designated campus/Laboratory grievance official on a form agreeable to the parties. The grievance form shall be furnished to the employee by the Union and the form must be signed and dated by the grievant(s) and/or the grievant's representative.
3. Group grievances are defined as, and limited to, those grievances which cover more than one (1) employee, and which involve like circumstances and facts for the grievance involved. Grievances that are group grievances must be so designated on the grievance form at Step 1, and all employees covered by the grievance must be indicated on the grievance form.
4. Alleged violations of a specific provision of this Agreement may be grieved by the Union and shall be so identified as a Union grievance on the grievance form. Such Union grievances shall be signed by the AFSCME Higher Education Division (Local 3299) Executive Director or his/her designee and shall contain all information as specified above for any other grievance.
5. Except as otherwise provided in this Agreement, an individual employee, a group of employees, the University, and AFSCME shall have the right to use the Grievance Procedure. AFSCME shall have the right to present grievances on behalf of an individual employee, on behalf of a group of employees or on behalf of itself as a Union grievance. The Union is responsible for informing an employee (including an employee named in a group grievance) that it is bringing a grievance on his/her behalf. In the event an employee wishes to withdraw from the grievance, he/she shall notify the University in writing and upon such written request shall be withdrawn. The University will promptly provide AFSCME with a copy of the employee's written request to withdraw. Grievants who voluntarily resign their employment with the University, unless they retire, shall have their pending grievances immediately withdrawn and will not benefit by any subsequent settlement or disposition of any individual, union, or group grievance.

6. No employee shall be subject to reprisal for using or participating in the Grievance Procedure.

B. PROPER FILINGS

1. U.S. Mail – the date of filing shall be the U.S. Postal Service postmark.
2. Hand Delivery – the date of filing shall be the date of hand delivery.
3. Electronic – the date of filing shall be the date received as indicated on the University’s email server. The grievance initiation/appeal form must be in a PDF format attachment.

C. CONSOLIDATION OF GRIEVANCES

Grievances of two (2) or more employees, as well as multiple grievances by or related to the same employee or which relate to the same incident, issue or course of conduct, may be consolidated for purposes of the Grievance Procedure by mutual agreement of the University and the Union.

D. TIME LIMITS

1. All grievances (individual, group, Union) must be presented promptly, in writing and in compliance with section A.2, above, but no later than thirty (30) calendar days from the date the grievant or the Union first became aware of, or should have become aware of with the exercise of reasonable diligence, the alleged violation of the Agreement. Grievances not presented within this thirty (30) calendar day period shall be considered untimely and ineligible for processing through the Grievance Procedure.
2. Grievances not appealed within the designated time limits in any step of the Grievance Procedure will be considered resolved on the basis of the last preceding University answer. Grievances not answered by the University within the designated time limits of any step of the Grievance Procedure may be appealed to the next step of the Grievance Procedure by giving written notice of the appeal within fifteen (15) calendar days of the expiration of the designated time limits to the campus official responsible for the next step of the Grievance Procedure. The parties may agree in writing to extend the time limits in any step of the Grievance Procedure. Such written extension must be accomplished in advance of the expiration of the time limit being waived. Deadlines which fall on a day which is not a campus business day will automatically be extended to the next business day. For grievance appeals and responses, the date of issuance shall be the date hand-delivered, or the date of the US Postal Service postmark, if mailed, provided the address used is the non-work address on the grievance form. The date of hand delivery shall be the date of the stamp or handwritten acknowledgement of receipt as noted by the Labor Relations office. For emailed appeals to the Office of the

President, the “date of filing” shall be the date received as indicated on the University’s email server.

E. INFORMAL REVIEW AND RESOLUTION

Before commencing the formal grievance procedure, an individual employee, or group of employees, with or without their representative, may first attempt to resolve the alleged grievance informally. When an employee or representative requests such a meeting, an Informal Review meeting shall be held with the immediate supervisor within 15 calendar days of the request. Informal resolution of grievances at the lowest possible level is an objective shared by the University and AFSCME. Informal attempts of settlement to resolve the grievance shall not extend time limits including the initial 30-day filing deadline.

F. REPRESENTATION RIGHTS

1. An employee or group of employees shall have the right to be represented at all steps of the Grievance Procedure by one (1) person of the employee's or group of employees' choice. The chosen representative may be the grievant, one (1) member of the group in a group grievance, a Union representative or any other person of the grievant's choosing. In any event, representation is to be provided by one (1) person. However, a University employee who has been designated as managerial, supervisory or confidential by the University shall not represent any employee or group of employees at any step of the Grievance Procedure or in any activity or role provided for in the Grievance Procedure. Provided it does not interfere with operational needs, and with prior approval from his/her supervisor, one (1) additional Union representative may attend such grievance meetings on non paid release time. Should an additional employee representative attend a grievance meeting, it is expressly understood there shall be only one Union spokesperson.
2. An employee or group of employees may choose a representative other than an AFSCME representative for purposes of grievance representation and adjustment. In the event the University is involved in the adjustment/resolution of a grievance from an employee or group of employees who are represented by themselves or by a representative other than an AFSCME representative:
 - a. The University shall provide AFSCME with a copy of the grievance and the proposed resolution thereto indicating the employee or employees have chosen a representative other than AFSCME. Proof of Service shall accompany such notification.
 - b. AFSCME shall have ten (10) calendar days from the date of issuance of such copy within which to comment in writing on the proposed resolution.
 - c. The employer shall not implement the proposed resolution of the grievance until timely receipt and review of AFSCME's written comments, if any.

- d. The adjustment/resolution of grievances presented absent AFSCME representation shall be consistent with the terms of this Agreement.

G. RELEASE TIME AND PAY STATUS FOR GRIEVANTS, EMPLOYEE REPRESENTATIVES AND/OR WITNESSES

1. University-Convended Meetings

- a. If the University convenes a meeting involving the parties to a grievance for the purposes of resolving the grievance and/or completing the steps of the Grievance Procedure, the grievant(s), witness(es), if any, and AFSCME-designated employee representative(s) eligible to attend such meeting pursuant to this Article and Article 1 – Access and Union Rights § C shall be in without-loss-of-straight-time-pay status during the meeting, provided:
 - 1) Such meeting occurs during the regularly scheduled hours of work of the grievant(s), AFSCME-designated employee representative, and/or witness(es); and
 - 2) Advance request is made and approval is received from the supervisor of the grievant(s), the witness(es), and/or the AFSCME-designated employee representative. Approval to attend shall be made on an operational needs basis and shall not be unreasonably denied.
 - 3) A grievant or the representative may request the availability of bargaining unit employee witnesses for University-convended grievance meetings. The availability of bargaining unit employee witnesses shall be determined by their immediate supervisor(s) on the basis of operational needs, and such requests shall not be denied unreasonably. Witnesses shall be in a without-loss-of- straight-time-pay status only for time spent at the campus/hospital/ laboratory meetings as a witness and reasonable travel time spent at the witness' respective campus/hospital/ laboratory location. In instances where the paid release time for travel and testimony will not be unreasonably denied. Grievants and AFSCME agree that every effort shall be made to provide witnesses that pertain solely to the subject matter and to avoid the presentation of repetitive witnesses and that the absence of any or all witnesses shall not require the meeting to be recessed or postponed.
- b. The University is not responsible for any travel or lodging expenses or any other expenses incurred by the representative, grievant or union witnesses.

- c. Paid release time for AFSCME designated employee representatives for purposes other than University convened meetings shall be provided in accordance with Article 1 – Access.

2. Paid Release Time

- a. The total cumulative use of paid release time for the AFSCME designated employee representative shall be limited to 10 hours in any one month. University convened meetings pursuant to Article 9 - Grievance Procedure, shall not be deducted from this block of time.
- b. The use of the maximum of 10 hours shall be for grievance-related activity such as:
 - 1) The initial hand-delivered filing of a grievance and the retrieval of University documents provided pursuant to a written request for information related to a grievance;
 - 2) One-on-one meetings with a grievant concerning a filed grievance, or an alleged violation of this Agreement which is at the Informal Review stage of Article 9 - Grievance Procedure;
 - 3) Meetings with the University representative to whom written grievances are presented or to whom documents related to filed grievances are presented/signed or with whom time limit agreements are achieved;
 - 4) Informal Review meetings held pursuant to Section D of Article 9 - Grievance Procedure.
- c. A request for release time will be made to the AFSCME designated employee representative's supervisor prior to the activity. Such approval shall be granted solely on the basis of operational need and shall not be denied unreasonably.
- d. At its sole discretion, the University may authorize use of release time for more than 10 hours in a month per department. The exercise of this discretion and/or the enforcement by the University of the 10-hour maximum shall under no circumstances establish a precedent for the AFSCME designated employee representative or department involved nor shall the allowance of greater than 10 hours in a month for a AFSCME designated employee representative have any effect or bearing on the ability of the University to enforce the 10-hour maximum on any other AFCME designated employee representative.
- e. Should a question of possible abuse of these release time provisions arise, the University will so notify AFSCME, and the parties will attempt to resolve the

matter. If a question remains, the University may take corrective action when warranted.

H. EXCLUSION OF NON-CAREER EMPLOYEES AND PROBATIONARY EMPLOYEES

1. The retention or release of non-career employees and probationary employees shall not be subject to Article 9 - Grievance Procedure or Article 3 - Arbitration Procedure of this Agreement except as provided for in Article 30 – Positions/Appointments, § B. 2, § B.6.a.1) and 2), §B.6.b, and §D.8. The retention or release of non-career employees and probationary employees is at the sole discretion of the University.
2. When an action is taken by the University with respect to a limited employee which effectively terminates the limited employee during the term of his/her limited appointment and there are unique or unusual circumstances involved, the designated campus official, upon the specific request of the AFSCME Higher Education Division (Local 3299) Executive Director, will discuss the action taken. The parties understand that such requests for discussion will occur on a very limited basis and will not be made with respect to actions including but not limited to those resulting from the expiration of appointment, programs or grant funds, or the decision not to continue, rehire or extend the employment of a casual employee. The parties further understand that the opportunity for such discussion in very limited circumstances does not in any way confer upon a limited employee any property or process right and does not in any way obligate or commit a designated campus official to any specific course of action or procedure.

I. GRIEVANCE STEPS

1. **Step 1**
 - a. Within the time limits indicated elsewhere in this Article the employee or his/her representative, if any, shall provide the written grievance on the approved form to the designated campus grievance official. The time limits relative to the University's response to the grievance at Step 1 of the Grievance Procedure shall begin on the date the Step 1 grievance official receives the grievance. The University Step 1 grievance official shall acknowledge receipt of the grievance in writing. When a grievance form is hand delivered, acknowledgment can, on request of the Union, take the form of date stamping the form, signing it, making a copy and giving the copy to the grievant or his/her representative. Any grievance that is not received within the time limits established by this Article and/or which does not comply with the procedures and requirements of this Article shall be considered waived and withdrawn by the employee and/or the Union.
 - b. The immediate supervisor shall review the grievance and, at his/her discretion, meet with the grievant and/or the grievant's representative, if any, to discuss

the grievance. Within fifteen (15) calendar days after receipt of the grievance a written response will be issued to the employee and the employee's representative. If the University's written response is not issued within these time limits or if the grievance is not resolved at Step 1 of the Grievance Procedure, the grievance may be appealed to Step 2. Time limits for appealing a UC written answer, or the absence of a written response, are provided in § C above.

- c. Resolution of the grievance at Step 1, although final, shall not be precedent setting.
- d. As set forth in Section I below, the parties may agree in writing to waive Step 1 and proceed directly to Step 2.

2. **Step 2**

If the grievance is not satisfactorily resolved at Step 1, the employee or the Union may proceed to Step 2 by filing an appeal as follows:

- a. The employee or the employee's representative shall submit the written appeal to the designated campus official. The campus official to whom Step 2 appeals must be presented shall be a designee of the Chancellor of the campus.
- b. The designated campus official must receive the written appeal within fifteen (15) calendar days of the date on which the written response to Step 1 was given or due.
- c. Within fifteen (15) calendar days following receipt of the Step 2 appeal, the designated campus official shall schedule and convene a meeting with the employee and the employee's representative, if any, to attempt to resolve the grievance. During this Step 2 meeting, both parties shall discuss information and contentions relevant to the grievance.
- d. Within fifteen (15) calendar days following the Step 2 meeting, the designated campus official shall issue a written decision indicating the University's answer to the grievance. A copy of the decision shall be provided to the grievant and his or her representative, if any, and Proof of Service shall accompany the written decision. For grievances described in Section H.2.f, below, a copy of the decision shall also be provided to the AFSCME Higher Education Division (Local 3299) Executive Director. Time limits for appealing a UC written answer, or the absence of a written response, are provided in § C above.
- e. If requested by the grievant, a Union staff representative (non-University employee) may participate for purposes of representation in the Step 2 meeting.

- f. If a grievance which alleges that a dismissal was not for just cause (even when coupled with other allegations), or which alleges a violation of only Article 8 - Duration of Agreement, is not satisfactorily resolved at the Step 2 meeting, AFSCME may appeal directly to arbitration in accordance with Article 3 - Arbitration Procedure. If the University's Step 2 decision is not properly appealed to arbitration as provided in Article 3 - Arbitration Procedure, the grievance shall be considered settled on the basis of the Step 2 decision and shall not be eligible for further appeal. Only AFSCME shall have the right to submit a grievance to arbitration.

3. **Step 3**

- a. All grievances other than those described in H.2.f. above which are not satisfactorily resolved at Step 2 may be appealed to Step 3 by AFSCME or the employee. To consider a grievance at Step 3, written notice of appeal of the Step 2 University answer shall be served, with a Proof of Service (pursuant to Section N. of this Article), upon the Director of Labor Relations of the University by the AFSCME Higher Education Division (Local 3299) Executive Director or his/her designee. Such notice must be received by the Director of Labor Relations of the University within fifteen (15) calendar days of the date the Step 2 answer was given or due. Such notice shall identify the grievance being appealed and be signed and dated by the AFSCME Higher Education Division (Local 3299) Executive Director or his/her designee.
- b. An employee or group of employees using a representative other than AFSCME pursuant to Sections E.1., and E.2., of this Article may appeal a Step 2 University answer to the Director of Labor Relations of the University. Such appeal must be served upon, with a Proof of Service (pursuant to Section O of this Article), and received by the Director of Labor Relations within fifteen (15) calendar days of the date the Step 2 answer was given or due. Such appeal shall be in writing, identify the grievance being appealed and be signed and dated by the employee(s) and representative.
- c. The subject of the grievance as stated in Step 2 shall constitute the sole and entire subject matter of the appeal to Step 3.
- d. The University's written answer to a grievance appealed to Step 3 shall be issued by the Director of Labor Relations of the University or his/her designee within thirty (30) calendar days of the receipt of the appeal to Step 3. Proof of Service shall accompany the written decision. The written answer shall be served upon the employee's designated representative and a copy shall also be provided to the AFSCME Higher Education Division (Local 3299) Executive

Director. Time limits for appealing a UC written answer, or the absence of a written response, are provided in § C above.

- e. The Director of Labor Relations of the University or his/her designee shall have authority to settle grievances appealed to Step 3. In the case of a grievance with AFSCME representation, the AFSCME Higher Education Division (Local 3299) Executive Director or his/her designee shall have authority to settle or withdraw the grievance or appeal the grievance to arbitration.
- f. Settlements of grievances processed beyond Step 2 of the Grievance Procedure must be signed by the Director of Labor Relations of the University and the AFSCME Higher Education Division (Local 3299) Executive Director or their designee(s).
- g. If the University's Step 3 decision is not properly appealed to arbitration as provided in Article 3 - Arbitration Procedure, the grievance shall be considered settled on the basis of the Step 3 decision and shall not be eligible for further appeal. Pursuant to the provisions of Article 3 - Arbitration Procedure, only AFSCME shall have the right to submit a grievance to arbitration.

J. MEDIATION

The parties agree to participate in mediation for the purpose of compromising, settling, or resolving a grievance. Grievances may be subject to mediation in accordance with the following:

1. The party requesting mediation shall request mediation upon the written appeal to Step 3, but prior to arbitration.
2. Grievances shall not proceed to mediation except by the mutual agreement of both parties.
3. The grievance shall be held in abeyance, tolling all time lines until the conclusion of the mediation process. At least fourteen (14) calendar days prior to taking the grievance out of abeyance, a written notice shall be provided to the other party by the Union or the Office of the President, Office of Labor Relations.
4. All costs of mediation shall be borne equally by both parties, provided that pursuant to Article 9.F.1 above, the grievant(s), witness(es), if any, and AFSCME-designated employee representative(s) eligible to attend such meeting pursuant to this Article and Article 1 shall be in without-loss-of straight-time-pay status during the mediation.

5. The recommendations of a mediator, if any, shall be advisory only and shall not be binding upon the parties. Neither party shall attempt to enter into evidence at a subsequent arbitration hearing any recommendation(s) of the mediator.

K. EXTENSION OF TIME LIMITS

Each of the steps in the Grievance Procedure, as well as the time limits prescribed at each step of the Grievance Procedure, may be waived by mutual agreement of the parties. Such waiver must be in writing and must be signed by the representatives of the respective parties who are responsible for the Grievance Procedure at the step succeeding the step being waived. The parties at any step of the Grievance Procedure may, upon written agreement, remand the grievance to a previous step for resolution.

L. OFFERS OF SETTLEMENT

Settlement offers made at any stage of this procedure, including informal resolution, shall not be introduced as evidence in subsequent steps, and shall not be precedent setting.

M. RETROACTIVITY

Settlement of grievances may or may not be retroactive as the equities of a particular case may demand. Where it is determined that the settlement shall be applied retroactively, except for the correction of mathematical, calculation, recording or accounting errors relating to the payment of wages, the maximum period of retroactivity allowed shall not commence on a date earlier than thirty (30) calendar days prior to the initiation of the written grievance in Step 1. For grievances involving the correction of an error in the payment of wages or the correction of mathematical calculations, recording or accounting errors relating to the payment of wages (for example vacation leave, holidays, overtime, military leave or the amount of shift differentials, if any) shall not be made retroactive to a date earlier than two years prior to the initiation of the written grievance in Step 1 of the Grievance Procedure.

N. EXCLUSIVE PROCEDURE

The Grievance Procedure set out in this Article shall be exclusive and shall replace any other grievance procedure for adjustment of any disputes arising from the application and interpretation of this Agreement. Unless otherwise indicated within this Agreement, any previous grievance procedure or other procedure in existence or adopted by the University shall not apply to employees covered by this Agreement for any purposes whatsoever.

O. PROOF OF SERVICE

Wherever Proof of Service is required in this Agreement, it shall be accomplished through the following vehicles only:

1. When delivery is by U.S. Mail, the person mailing shall complete and sign the prescribed and appropriate Proof of Service form which shall indicate that they

have personally deposited with or presented to the U.S. Postal Service the document(s) being mailed;

2. When delivery is through personal presentation of a document(s), Proof of Service is accomplished and recorded by:
 - a. the person presenting the document(s) completing and signing the prescribed and appropriate Proof of Service form which shall indicate they have delivered the document(s) by hand and to whom the document(s) were delivered; or
 - b. the person delivering the document(s) and the person accepting delivery of the document(s) shall mutually acknowledge the delivery/receipt by signing and dating the document(s) and a copy of the document(s) and each of them retaining one of the signed and dated document(s); or
3. Email to AppealAGrievance@ucop.edu.
 - a. Email submissions must include PDFs of all documents, information and signatures necessary to be in compliance with the Grievance Procedure provisions of this Agreement.
 - b. The “date of filing” for emailed Appeals to Step 3 shall be the date received on the University server, provided that the appeal is received during business hours. If a Step 3 appeal is received outside of normal business hours, the first following business day will be deemed the filing date of the Appeal to Step 3.
 - c. The University shall acknowledge the Union’s Appeal to Step 3 through a computer-generated, automatic email response.

P. GRIEVANCE FILE

Records involving the processing of an employee's grievance, such as the grievance form, step appeals/responses, and settlement documents, will be kept in a file separate from the employee's personnel file. It is not the intent of this section to exclude from the employee's personnel file final disciplinary action documents, including those that result from a settlement agreement. The University will keep grievance files confidential to the extent required by applicable law and will not disseminate their contents unless solicited for a legitimate University business purpose or obligated to provide for a pertinent regulation or law.