

This is part of a package proposal. UAW reserves the right to withdraw this package proposal at any time, at its sole discretion and without penalty. If this package proposal is not accepted as written in its entirety and without modification as described below, this proposal will be declared to be void and non-existent and the Union will return to bargaining from its language proposed prior to this package proposal.

ARTICLE ____
GRIEVANCE AND ARBITRATION PROCEDURE

A. GENERAL PROVISIONS

1. Representation

A grievant shall have the right to be represented at all steps of the grievance **and arbitration** procedures by a UAW representative(s), ~~or any other one (1) person of the grievant's choice other than a University employee who has been designated as supervisory, managerial, or confidential. It is expressly understood there shall be only one Union spokesperson.~~

2. Settlements not precedential

Resolution of the grievance at any step of the grievance or arbitration procedures, although final, shall not be precedent-setting, **unless agreed to in writing by the parties to this Agreement.**

3. Settlement offers not admissible

Offers of settlement are inadmissible at any step of the grievance or arbitration procedures.

4. Grievance **and arbitration file separate from personnel file**

Materials generated as a result of the filing of a grievance including the grievance form shall be maintained by the University in a file separate from the Academic Researcher's personnel file.

5. **Effect of resignation or retirement**

~~Grievants who voluntarily resign or retire their employment with the University shall have their pending grievances immediately withdrawn and will not benefit by any subsequent settlement or disposition of any individual, union, or group grievance.~~

B. FILING GRIEVANCES

1. Filing Status

A grievance is a claim by an individual Academic Researcher, a group of Academic Researchers, or UAW, that the University has violated a specific provision of this Agreement during the term of this Agreement.

2. Individual grievance

An individual grievance is defined as a grievance the UAW files on behalf of an individual employee. An individual grievance must be so designated on the grievance form at Step 2. ~~and signed by the grievant.~~

3. Group grievance

A group grievance is defined as a grievance that covers more than one employee, and that involves like circumstances and facts. A group grievance must be so designated on the grievance form at Step 2, ~~and all employees covered by the grievance must sign the grievance form (Appendix XX) at the time of filing of the Step 2 grievance. If an employee wishes to withdraw from a group grievance represented by UAW, the employee shall notify UAW. UAW shall in turn notify the University in writing if the employee is to be withdrawn.~~

4. Union grievance

A union grievance is defined as a grievance the UAW files on behalf of itself. A union grievance must be so designated on the grievance form at Step 2.

5. Consolidation of grievances

Grievances related to two (2) or more Academic Researchers may be consolidated by written agreement of the University and UAW.

6. Notification to employee

~~The Union is responsible for informing an employee (including an employee named in a group grievance) that it is bringing a grievance on the employee's behalf.~~

7. Proper filing of grievances and appeals

a. Method of filing used by UAW

All grievances and appeals must be in writing and submitted to the designated campus and/or medical center labor relations office at the location where the alleged violation occurred. All grievances and appeals must be filed on the Academic Researcher grievance form (Appendix ___).

Grievances may be hand-delivered to the appropriate office or submitted via email. **The University shall provide and maintain with the Union a complete and accurate list of which department or hiring unit is assigned to which labor relations office.**

1) Hand-delivery

Hand-delivered grievances must be received during the normal business hours of the appropriate office designated to receive the grievance or appeal and are considered filed on the date they are actually received. ~~Hand-delivered grievances must receive mutual acknowledgement from the person delivering the document(s) by either (1) affixing the date stamp of the receiving office, and each of them retaining one of the stamped document(s); or (2) the person accepting delivery of document(s) signing and dating the document(s), and each of them retaining one of the signed, dated document(s).~~

2) Email Filing

a. Emailed grievances must be received by the appropriate office designated to receive the grievance or appeal. If the date and time on the electronic transmission falls outside the University business hours, the following business day shall constitute the official date of receipt. Any attachments must be in PDF format or similar electronic document format.

b. Each campus/medical center labor relations office shall notify the Union of the email address where grievances and appeals may be electronically filed.

c. Filing at the Office of the President may be sent by email to appealagrievance@ucop.edu. The Office of the President shall acknowledge the Union's grievance filing through a computer-generated, automatic email response.

~~d. University responses may be sent to an email address designated by the UAW on the grievance form. The UAW's failure to designate an alternate email address on the email form indicates that email responses shall be sent to uaw5810@uaw5810.org~~

- e. The University ~~may~~ **shall** respond to grievances or any subsequent appeals via email. All University responses may be sent by email to uaw5810@uaw5810.org, which shall constitute service of any written response as outlined in this article. **The University may also send a copy of the response to an additional union email address provided on the grievance form. Emailed responses must be received by the appropriate union address designated to receive the response. If the date and time on the electronic transmission falls outside the Union business hours, the following business day shall constitute the official date of receipt. Any attachments must be in PDF format or similar electronic document format.**

b. In the event the union alleges a contract violation as a result of an Office of the President action, the grievance shall be filed directly at the Office of the President. The University shall issue a step 3 response within 15 calendar days from the day the grievance was filed at the Office of the President.

C. TIME LIMITS

1. The date of initial filing shall be the date the grievance is received at the designated campus/medical center labor relations office. Filings received after the close of business at that campus/medical center shall be deemed filed the next business day. The time limits and meetings for the processing of grievances shall be in accordance with the formal grievance review steps addressed below.

2. Extensions

The parties may mutually agree to extend the time limits in advance of the expiration of the time limit. Such agreements shall be documented in writing. Each party shall be entitled to one (1) seven (7) calendar-day extension upon request, ~~with the exception of the initial filing of the grievance,~~ **which must be timely filed.**

3. Failure to comply with the time limits

a. By the UAW

If the grievant or the grievant's representative does not comply with a timeline set forth in this Article, **the University may issue a decision in the case, or if the grievance is at the Arbitration stage, may argue that**

~~the grievance is not timely. grievance shall be ineligible for further processing and shall be considered waived and withdrawn by the employee and/or the Union.~~

b. By the University

If the University or the University's representative does not comply with a timeline set forth in this Article the grievance may be appealed to the next step of the grievance procedure.

~~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. That notice of appeal should be filed with the campus official responsible for the next step of the grievance procedure.~~

D. GRIEVANCE PROCEDURE

1. Optional/informal resolution

Before commencing formal grievance processes, the grievant may discuss the grievance with the grievant's immediate supervisor in a timely manner. Informal resolutions, although final, shall be neither precedential nor inconsistent with this Agreement. If the grievance is not resolved through informal discussion, the grievant may seek review as set forth below. Attempts at informal resolution do not extend the ~~thirty (30) calendar day~~ time limit to file an initial grievance at Step 2.

2. Formal grievance review steps

a. Step 2 – initial grievance (campus)

A written grievance must be filed as set forth below:

b. Receipt of grievance

A written grievance must be received by the designated campus/medical center labor relations office on the grievance form agreed to by the parties (Appendix XX) within thirty (30) calendar days from the date on which either the grievant or the grievant's representative knew or could have been expected to know of the event or action which gave rise to the grievance. There is, however, no time limit for submitting grievances alleging a violation of the non-discrimination article of the contract.

- c. Completeness of grievance
- 1) **To aid in effective dispute resolution**, the written grievance **must should** contain the following information ~~or it shall be ineligible for processing~~:
 - 2) **The specific Article section(s) and provision(s) of the Agreement alleged to have been violated;**
 - 3) A specific description of the action(s) grieved and how it violated the above-mentioned provision(s);
 - 4) **How the grieving employee was adversely affected;**
 - 5) The name of the grievant's representative(s) if any;
 - 6) A list **or description** of the affected individual(s) known at the time of filing;
 - 7) The specific date(s) of the alleged violation(s)
 - 8) The date(s) the grievant discussed the alleged violation(s) with his/her supervisor and/or University representative(s), if applicable;
 - 9) The specific remedy or remedies requested;
 - 10) ~~The signature(s) of the grievant(s)~~

3. Step 2 Meeting

- a. **If requested**, a step 2 meeting shall be held within fifteen (15) calendar days from the date the step 2 grievance was filed.
- b. Step 2 response deadline
 1. The University shall issue a written response to the grievance within ~~thirty (30)~~ **fifteen (15)** calendar days of the date on which the Step 2 grievance was filed or the date of the Step 2 meeting, whichever is later.
 2. **The university's response must include a complete, evidence- and argument-based explanation as to how each allegation included in the grievance is upheld or denied.**
 3. **The university shall issue complete responses by the Step 2 response deadline to all Requests for Information related to the grievance that were submitted by the Union no later than seven (7) days after the grievance was filed.**

c. Waiving of grievance Step 2

1. *Where the grievance alleges a systemwide issue*, the University and Union may agree in writing to waive Step 2 of the grievance procedure. ~~Unless the parties mutually agree in writing to waive~~

~~the Step 2 meeting, a Step 2 meeting shall be held prior to the filing of any appeal to Step 3.~~

2. ~~Starting on the date when the University and Union agree to waive Step 2, the Union will have 15 (fifteen) calendar days to file a Step 3 appeal.~~ **Agreement to waive Step 2 shall constitute an immediate appeal to Step 3.**

4. Step 3 – Review (Office of the President)

- a. If the grievance has not been resolved at Step 2, the grievant and/or the grievant's representative may file an appeal in writing to the Office of the President. Such appeal must be received by the Office of the President no later than fifteen (15) calendar days after the University's Step 2 response is issued ~~or was due~~.
- b. An appeal to Step 3 shall be accomplished as follows:
 1. Hand Delivery: ~~When hand delivered, proof of service must accompany the appeal to step 3.~~ The date of filing will be the date of receipt for hand-delivered appeals, or
 2. 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 **sent received on the University server**, provided that the appeal is **sent received** during business hours. If a Step 3 appeal is **sent 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.
- ~~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 UCOP official or the UCOP official's designee shall issue the University's Step 3 decision within ~~thirty (30)~~ **fifteen (15)** calendar days of the receipt of the appeal. ~~Proof of Service shall accompany the written decision. The Step 3~~

~~decision shall be served upon the grievant and/or the grievant's representative. The university's response must include a complete, evidence- and argument-based explanation as to how each allegation included in the grievance is upheld or denied.~~

e. The university shall issue complete responses by the Step 3 response deadline to all Requests for Information related to the grievance that were submitted by the Union no later than seven (7) days after the grievance was appealed to Step 3.

f. The UCOP official or the UCOP official's designee shall have the authority to settle grievances appealed to Step 3.

E. ARBITRATION PROCEDURE GENERAL PROVISIONS

1. Representation

~~A grievant shall have the right to be represented at all steps of the arbitration procedure by a UAW representative.~~

2. Extension of time limits

~~Time limits set forth in this article may be extended only by agreement of the parties in writing.~~

3. Settlements not precedential

~~Resolution at any step of the arbitration procedure, although final, shall not be precedent-setting.~~

4. Settlement offers not admissible

~~Offers of settlement are inadmissible at any step of the arbitration procedure.~~

5. Arbitration file separate from personnel file

~~Materials generated as a result of an appeal to arbitration shall be maintained by the University in a file separate from the academic researcher's personnel file.~~

6. Effect of resignation or retirement

~~Grievants who voluntarily resign or retire their employment with the University shall have their pending arbitrations immediately withdrawn and will not benefit by any subsequent settlement or disposition of any individual, union, or group grievance.~~

F. ARBITRATION PROCEDURE

1. Proper filing:

Only the UAW may file an appeal to arbitration and only after the timely exhaustion of the Grievance Procedure. The written appeal must be signed by an authorized representative of the UAW, filed with the Office of the President - Labor Relations, and must include:

- a. the name and address of the UAW representative who is responsible for the appeal to arbitration and to whom all correspondence relating to the arbitration is to be sent;
- b. a copy of the completed grievance form; and
- c. a statement setting forth the unresolved issue(s), the articles of the agreement alleged to have been violated, and the remedy requested.

2. Appeal Format: An appeal to arbitration may be made in the following ways:

a. Hand Delivery:

~~When hand delivered, proof of service must accompany the appeal to arbitration.~~ The date of receipt will be used to determine the date of the appeal for hand-delivered appeals.

b. Email to AppealAGrievance@ucop.edu.

1. Email submissions must include PDFs of all documents, information and signatures necessary to be in compliance with the Arbitration provisions of this Agreement.
2. The 'date of filing' for emailed Appeals to Arbitration shall be the date ~~received~~ **sent** ~~received~~ **sent** during business hours. If an appeal to Arbitration is ~~received~~ **sent** outside of normal business hours, the following business day will be deemed the filing date of the Appeal to Step 3.
3. The University shall acknowledge receipt of the Union's Appeal to Arbitration through a computer-generated, automatic email response.

~~c. Appeals to arbitration that are not processed within the time limit below are ineligible for arbitration.~~

~~d. If a grievance is not appealed to arbitration, the University's Step 3 response shall be final. If the appeal to arbitration is withdrawn or an arbitration hearing otherwise does not take place, the University's Step 3 response will be final.~~

3. Time limits

- a. The written appeal to arbitration must be received by the Office of the President within forty-five (45) calendar days of the date on which the University issued its Step 3 response, ~~or within forty-five (45) calendar days of the final date on which the University's response was due if no response was issued.~~
- b. Within fifteen (15) calendar days of the date of email delivery or date of personal delivery, the University shall acknowledge receipt of the appeal and the identity of the University official to whom all relevant correspondence should be directed.

4. Selection of the arbitrator

- a. The UAW representative shall contact the designated University official within thirty (30) calendar days of the appeal to arbitration in order to select an arbitrator from the panel set forth in Appendix XX. The arbitrator shall be selected within forty-five (45) calendar days from the date of the appeal. ~~Failure to contact the designated University official within the established time frame will be considered as a withdrawal of the appeal to arbitration.~~
- b. If the parties cannot agree to an arbitrator from the panel, the parties shall alternately strike one name each from the list of panel members. Unless the parties agree otherwise, the party selecting first shall be determined by the flip of a coin. The remaining name shall be designated as the arbitrator.
- c. Within sixty (60) calendar days from selection, the parties shall attempt to agree to a hearing date, but if they are unable to agree, the authority for scheduling a hearing date shall reside with the arbitrator.

5. The parties may mutually agree to engage in grievance mediation and request a state mediator in order to resolve cases prior to a hearing. Mediation shall occur at least 2 weeks before arbitrator's cancellation deadline. However, if the parties agree to engage in grievance mediation, nothing in this paragraph shall supplant the grievance process timelines from continuing, unless mutually agreed by the parties. If a settlement is reached in grievance mediation, the settlement shall be in writing and signed by the parties.

6. International Grievants Who Are Dismissed
In recognition of the large number of international Academic Researchers in the bargaining unit, the University and the UAW agree to the provisions of this Section.

- a. **The Academic Researcher has the option to request an expedited grievance and arbitration process pursuant to**

Section B.5.e of this Article and that they have fifteen (15) calendar days from receipt of the Dismissal notice to request such process.

- b. If the grievant was required to leave the country prior to the arbitration hearing due to a change in visa status as a result of the grieved action, but elects to participate in person on a travel visa, the University will assist in sponsoring the travel visa if necessary.
- c. If the arbitrator makes the determination that the grievant was not dismissed for just cause, the University shall reimburse for actual travel costs incurred, for the grievant only, to appear at the hearing. Such reimbursement shall be limited to a travel visa and airfare, in accordance with University Travel Policy.
- d. If the arbitrator upholds the dismissal, the union shall be responsible for reimbursement of travel costs to the grievant.
- e. If the visa status of an Academic Researcher is threatened by the dismissal of that Academic Researcher, the Academic Researcher shall have the option of either filing a grievance and proceeding through the grievance and arbitration process under Article XX or to pursue an expedited grievance and arbitration procedure. The Union or Academic Researcher shall notify the University of the Academic Researcher's intent to appeal through the expedited procedure by a written notice to the University within fifteen (15) calendar days of receipt of the University's written notice to dismiss. In case of the expedited process, the University and the Union shall cooperate to expedite the grievance and arbitration process so that the grievance and arbitration process will be completed before the Academic Researcher loses their visa status. The record of an Academic Researcher who opts to utilize this expedited procedure shall not be terminated in SEVIS until the final decision. The Academic Researcher shall continue to receive compensation and benefits as usual, or the Academic Researcher will request a formal leave until the grievance and arbitration process will be completed. USCIS and third parties will not be notified until the grievance and arbitration process will be completed.

7. Bifurcation for procedural and/or arbitrability issues

- a. ~~Bifurcation when procedural issues might preclude hearing on merits~~

~~The arbitration process shall be bifurcated where the University asserts that there are procedural (e.g., timeliness, standing)~~

~~and/or arbitrability issues that preclude the UAW from proceeding to a hearing on the merits of the claim.~~

~~b. Notification of arbitrability issue~~

~~The University shall inform the UAW in writing of its intent to assert the issue of arbitrability prior to the selection of the arbitrator or at least forty-five (45) calendar days prior to the scheduled arbitration.~~

~~c. Arbitrability decided in writing or separate hearing~~

~~The issue(s) of arbitrability shall be resolved in a written decision based on arguments submitted by the parties prior to and separate from the hearing (if any) on the merits of the claim.~~

- ~~1. The Brief is default method for deciding arbitrability. Such argument will be submitted to the arbitrator in brief form where practicable.~~
- ~~2. Hearing available upon request. However, where either party requests a hearing on arbitrability, such hearing shall be held. Any hearing to resolve the issue of arbitrability shall be resolved in a hearing prior to and separate from the hearing (if any) on the merits of the claim.~~

~~d. Selection of arbitrator for hearing on the merits~~

~~After the decision on arbitrability, if the arbitrator deciding the issue of arbitrability determines that the dispute is arbitrable and the arbitration is not precluded by any procedural defects, the parties will use the arbitrator selection procedure in Section B.3. above to select an arbitrator to hear the dispute's merits. The parties are not required to select, nor are they precluded from selecting, the same arbitrator for both the arbitrability and merits hearings.~~

7. Procedural/evidentiary issues at hearing

- a. Prior to the arbitration hearing, the UAW and the University shall attempt to stipulate as to the issue(s) to be arbitrated and to as many facts as possible. At least seven (7) calendar days prior to the arbitration, the parties shall exchange lists of known witnesses.
- b. During the hearing, the parties shall have the opportunity to examine and cross-examine witnesses under oath and to submit relevant

evidence. If the grievant cannot testify in person, the grievant may testify through electronic means. Issues and allegations shall not be introduced at the hearing unless they were introduced prior to or during Step 3 of the Grievance Procedure.

- c. Upon request by either party, but not upon the arbitrator's own motion, the arbitrator shall have the authority to subpoena relevant documents and/or witnesses.
- d. The arbitration hearing shall be closed to anyone other than the participants in the hearing unless the parties agree otherwise in writing.
- e. In all cases appealed to arbitration, except for actions taken pursuant to Article XX, Corrective Action and Dismissal, the UAW shall have the burden of proceeding.

8. Scope of arbitrator's authority

The arbitrator shall consider the evidence presented and render a written decision within thirty (30) calendar days of the close of the record of the hearing. The arbitrator's decision will set forth the findings of fact, reasoning, and conclusions on issues submitted by the parties. The arbitrator's authority shall be limited to determining whether the University has violated arbitrable provisions of this contract and to ordering corresponding remedies. The arbitrator shall not have jurisdiction or authority to add to, amend, modify, nullify, or ignore in any way the provisions of this contract ~~nor shall the arbitrator have the authority to review any academic judgment. To the extent that the University's action is based upon academic judgment, the arbitrator shall have no authority or jurisdiction to substitute the arbitrator's judgment for that of the University and its agents.~~

- a. ~~If the grievance is sustained in whole or in part, the remedy shall not exceed restoring to the grievant the pay, benefits or contractual rights lost less any compensation from any source including but not limited to Workers' Compensation, Unemployment Compensation or other employment. The decision and award of the arbitrator shall be final and binding upon the parties to the contract and the Academic Researchers. The University will not be liable for back wages or other monetary reimbursement for:~~
 - 1. ~~any period of time during which an extension of the time limits has been granted at the request of the~~

UAW;

2. ~~any period of time greater than thirty (30) calendar days prior to the date the grievance was filed pursuant to this article.~~

- a. ~~b.~~** The arbitrator's fees and the costs of transcripts requested by the arbitrator or both parties shall be equally borne by the parties. Costs for transcripts requested by only one party, shall be borne by the requesting party.
- b. ~~c.~~** The party that cancels or postpones an arbitration will be liable for any cancellation/postponement fees charged by the arbitrator or court reporter.

9. Pay Status

- a. The University and the UAW shall establish a reasonable schedule for the arbitration proceedings. The UAW shall provide the names of witnesses in advance in order to facilitate the University's provision of release time as discussed below.
- b. The Academic Researcher grievant(s) shall be in a without-loss-of-pay-status for the entire arbitration hearing. Academic Researcher witnesses will be in a without-loss-of-pay-status for travel to and from the arbitration hearing, for time actually giving testimony or waiting to give testimony, at the hearing. Total release time for the grievant, employee representative and witness(es) for travel to/from the hearing and for participation in the hearing shall not exceed either their normally scheduled hours of work for the day(s) of the hearing or their actual participation in the hearing. Participants shall travel to/from the hearing via the most expeditious method of transportation available.
- c. No more than one (1) Academic Researcher representative shall be in without-loss-of-pay-status for an arbitration hearing.
- d. The University shall not be responsible for any lodging, travel expenses or other expenses incurred by a grievant, witnesses, employee or UAW representatives with regard to the union's presentation in the arbitration hearing.

10. Arbitrator Panel

The parties agree that there will be a standing panel of **seventeen (17)** ~~thirteen (13)~~ arbitrators to hear arbitration cases scheduled for hearing pursuant to the provision of this article. The panel is listed in Appendix ___.

G. ~~NONDISCRIMINATION ACKNOWLEDGMENT AND WAIVER~~

1. ~~If the UAW appeals a grievance to arbitration that contains allegations of a violation of Nondiscrimination but does not allege violation of another Article that is arbitrable, the Union's notice must include an Acknowledgment and Waiver Form signed by the affected Academic Researcher. The Acknowledgment and Waiver Form will reflect~~
 - a. ~~that the Academic Researcher has elected to pursue arbitration as the exclusive forum for the claim and~~
 - b. ~~that the Academic Researcher understands the procedural and substantive differences between arbitration and the other remedial forum or forums in which the dispute might have been resolved, including the differences in the scope of remedies available in arbitration as compared to other forums.~~
2. ~~The UAW may request an extension of thirty (30) calendar days to file its appeal to arbitration to enable the Academic Researcher to make an informed choice about whether to sign the Acknowledgement and Waiver Form, when a grievance contains allegations of a violation of Nondiscrimination but not allegations of a violation of another Article that is arbitrable.~~