

POST DOCTORAL FELLOWS
Collective Agreement

BETWEEN THE
POST DOCTORAL FELLOWS ASSOCIATION
(THE “PDFA”)
AND
UNIVERSITY OF ALBERTA BOARD OF GOVERNORS
(The “Board”)

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PREAMBLE

The Board and the Postdoctoral Fellows Association of the University of Alberta recognize the important contribution that Postdoctoral Employees, as members of the University's academic and research community, make to the University's vision to be recognized as one of Canada's top research universities grounded in innovative learning and teaching.

ARTICLE 1: PURPOSE AND SCOPE OF THIS AGREEMENT

- 1.01 This Agreement describes the terms and conditions that apply to the employment of postdoctoral fellows by the University of Alberta.
- 1.02 This Agreement is binding on the Board and its representatives, the PDFA and its representatives, and postdoctoral fellows.
- 1.03 The terms and conditions of this Agreement will not apply to the appointments of postdoctoral fellows who are identified as PDF Guests and PDF Trainees and secure their own transferable funding from external grant-funding agencies and for whom this is the sole source of funding.
- 1.04 If a conflict arises between this Agreement and the requirements of a funding agency, the requirements of the funding agency will apply.
 - 1.04.01 If a Supervisor determines an inability to meet any term or condition of employment, based on the requirements of the funding agency, the Supervisor will contact the Provost.
 - 1.04.02 The Provost (or designee) will request the Supervisor to consider option(s) that provide an outcome of comparable value. The decision to provide an alternative option is at the sole discretion of the Supervisor.
 - 1.04.03 The Provost (or designee) will notify the PDFA of the reason(s) for the inability to meet any term or condition of the collective agreement.

ARTICLE 2: TERM AND VARIATION OF THIS AGREEMENT

- 2.01 The Agreement is binding upon the Board, the PDFA and each PDF Employee.
- 2.02 This Agreement is effective from August 1, 2022, to December 31, 2024 (the “Expiration Date”) however, if notice to bargain is not given in accordance with Article 21.01, The Expiration Date shall be deemed to be extended by one year.
- 2.03 During the term of this Agreement, the Provost and the PDFA President may mutually agree to waive or amend specific time limits. Such agreements will be confirmed in writing.

ARTICLE 3: DEFINITIONS

- 3.01 **“Agreement”** means this Collective Agreement.
- 3.02 **“Appointing Officer”** means the Dean or Department Chair responsible for appointing the postdoctoral fellow.
- 3.03 **“Department”** means an administrative unit, department or non-departmentalized faculty.
- 3.04 **“Letter of Appointment”** means the employment contract between the PDF and the University.
- 3.05 "PDFA" means the Postdoctoral Fellows Association
- 3.05 (a) **“PDFA”** means the Association.
- 3.05 (b) **“PDFA”** means the Union.
- 3.06 **“PDFA President”** means the elected President of the Postdoctoral Fellows’ Association, or designee.
- 3.07 **“PDF Employee”** means a postdoctoral fellow who is employed by the University on a full or part time basis and is subject to the terms and conditions of this agreement.
- 3.08 **“PDF Trainee”** means a postdoctoral fellow who is designated by the University as a “Trainee” or a “Postdoctoral Fellow Trainee”, which is a postdoctoral fellow who has a grant(s) or award(s) of funding themselves, for which the University acts only as administrator and/or paymaster. A PDF Trainee is not an employee of the University and is not subject to the terms and conditions of this agreement.
- 3.09 **“PDF Guest”** means a postdoctoral fellow who is designated by the University as a “Guest” or a “Postdoctoral Fellow Guest”, which is a postdoctoral fellow who has a grant/award of funding themselves which is managed/administered by him/herself and for which the University does not act as administrator or paymaster. A PDF Guest is not an employee of the University and therefore is not subject to the terms and conditions of this agreement.
- 3.10 **“Supervisor”** means the faculty member responsible for the supervision and coordination of the duties performed by the postdoctoral fellow.
- 3.11 **“Provost”** means the Provost and Vice-President (Academic), or designee, for the purposes of this Agreement.
- 3.12 **“Union Representative”** means an Executive member of the PDFA or their designee

ARTICLE 4: UNION RECOGNITION

- 4.01 The Postdoctoral Fellows' Association is the exclusive bargaining agent for PDF Employees.
- 4.02 A PDF Employee appointed to a position under this agreement is a member of the PDFA when they commence work on their appointment date.
- 4.03 Union dues shall be deducted from PDF Employee's pay and remitted to the PDFA following the pay period in which such monies are deducted.
- 4.04 The University will provide a monthly list of PDF Employees subject to dues and the changes (additions and deletions) that have occurred during the month. The list shall include: Name, Department, Faculty, Start Date, Anticipated End Date, Home Address, U of A Email address, Dues Deducted for the month, and phone number.
- 4.05 The Union will provide the Employer with at least one full calendar month's written notice prior to the effective date of a change in the amount of dues to be deducted.
- 4.06 The parties agree there will be no discrimination or coercion exercised or practiced with respect to any PDF Employee for reason of membership or legitimate activity in the Union.
- 4.07 Union activities during regular hours of work are subject to operational requirements. The primary function of a PDF Employee is to perform the duties assigned to their position. Requests for time to participate in Union activities will not be unreasonably withheld.

ARTICLE 5: MANAGEMENT RIGHTS

- 5.01 The PDFA and its members recognize the authority and responsibility of the Board of Governors to manage the operation of the University of Alberta in accordance with the Post-Secondary Learning Act and to implement policies and procedures for that purpose.
- 5.02 All functions, rights, powers and authority which the University of Alberta has not specifically abridged, delegated, or modified by this Agreement are retained by the University and will be exercised in a reasonable manner.

ARTICLE 6: SAFETY, HEALTH AND WELLNESS

- 6.01 Discrimination and Harassment
 - 6.01.01 All members of the University Community are responsible for creating and maintaining a respectful, productive work environment that is free

of discrimination and harassment. Discrimination and Harassment will not be tolerated.

6.02 Health and Safety

- 6.02.01 It is the University's responsibility to develop a safe work environment.
- 6.02.02 A PDF Employee can reasonably expect to pursue their work in a safe and respectful environment. The Parties recognize and acknowledge a joint responsibility for maintaining a safe workplace for all members of the University community.
- 6.02.03 The University and each PDF Employee recognize and accept their responsibilities to maintain a safe work environment through compliance with applicable health and safety legislation and regulations.
- 6.02.04 The University will ensure, as far as it is reasonably practicable for the University to do so, PDF Employees have Supervisors that are competent and familiar with their obligations related to safe work. The University will provide PDF Employees with training, orientation and information needed to perform their work duties in a safe manner.
- 6.02.05 If a PDF Employee considers their workplace to be unsafe or that another person is performing work in an unsafe manner, the PDF Employee will immediately report the condition to their supervisor, the supervisor of the work area, the Departmental Chair and/or an authority in charge of safety and seek a collaborative resolution to the concern.
- 6.02.06 - A PDF Employee may choose to exercise their right to refuse unsafe work in accordance with the process defined in the Alberta Occupational Health and Safety Act.
- 6.02.07 PDF Employees have the right to contact the Office of Human Resources, Health, Safety and Environment and the Office of Safe Disclosure and Human Rights, if their concerns are not being addressed by the Department Chair to their satisfaction.
- 6.02.08 A PDF Employee who exercises their rights under this Article or under the Alberta Occupational Health and Safety Act, in good faith, will not be subject to the withholding of pay discipline or termination.
- 6.02.09 Workplace health and safety concerns not effectively addressed by the Chair or Supervisor may be referred to the Joint Work Site Health and Safety Committee.

- 6.02.10 The Employer will maintain a Joint Work Site Health and Safety Committee made up of Employer and worker representatives and will include a member from the Union.
- 6.02.11 The Union will be notified as soon as possible upon the Employer becoming aware of a serious incident which has caused a significant injury/illness. When the incident involves a significant exposure to a substance that has caused or could cause a serious health impact written information related to the nature and date of the exposure and potential health impacts will be provided to affected Employees. Copies of this information and a list of affected Employees will be provided to the Union. The Employer will retain records of these incidents, in accordance with required retention schedules, for future reference in the event of a Workers' Compensation Claim.

ARTICLE 7: APPOINTMENTS

- 7.01 The Appointing Officer shall make the appointments of PDF Employees in accordance with University policies and procedures. The appointment is normally within five years of completion of a doctoral degree or 10 years from the completion of a MD, DDS, or equivalent degree.
- 7.02 Appointments are for a limited period of time, from a minimum of three months to a maximum of five years. This five-year time limit may only be extended in writing by the Provost, or designee, due to circumstances requiring an interruption in the PDF Employee's research career.
- 7.03 A letter of appointment executed by the Appointing Officer shall be provided to the PDF Employee. It will indicate the particulars of the appointment, which may include but are not limited to the title, start and end date, pay arrangements, position description, and any other special terms and conditions. The PDF Employee's employment and status as a member of the PDFA is not considered to have begun until the actual start date indicated in the appointment letter and the PDF Employee has commenced work.
- 7.04 PDF Employee appointments are full-time appointments. Part-time PDF Employee appointments may be considered and are reviewed and approved by the Provost (or **designee**) on a case-by-case basis. Written justification from the Principal Investigator and PDF Employee is required.

Appointment End and Renewal

- 7.05 A PDF Employee's appointment will automatically cease on the end date indicated in the Appointment Letter. In some instances, an appointment may be renewed provided that the PDF Employee still falls within the definition of a PDF Employee and that the renewal would not normally cause the aggregate duration of the appointments to exceed the total time limit of five years.

- 7.06 The appointment shall be subject to a period of assessment of three months from the appointment start date. At any time during or at the end of this three month period, if either party wishes to end the appointment for any reason then either the PDF Employee or the Appointing Officer, on the advice of the Supervisor, may terminate the appointment without cause. In this event, the PDF Employee will be provided with working notice in accordance with 9.04 and shall not be entitled to any other compensation.
- 7.07 If a PDF Employee is absent from their appointment for a period of seven business days and has not contacted their Supervisor advising them of the reason for the absence, that shall constitute just cause for termination and the Appointing Officer may terminate the appointment without any notice or any pay or other compensation of any kind in lieu of notice.
- 7.07.01 The termination will be rescinded if the PDF demonstrates to the satisfaction of the University that circumstances beyond their control prevented them from reporting to work their place of work and from contacting their Supervisor.
- 7.08 In all cases of termination by the University, unless otherwise indicated herein, the PDF Employee will not be entitled to payment of any funding/compensation beyond the effective date of termination.

ARTICLE 8: WORKLOAD

The Parties recognize that the PDF Employee is primarily involved in research and scholarly activity. As such, there must be flexibility with respect to the hours of work to allow for the specific needs of research, scholarship, and the PDF Employee's individual needs. The parties recognize that this arrangement is mutually beneficial for both PDF Employees and their Supervisors. Therefore, PDF Employee's will manage their schedule in accordance with their responsibilities.

- 8.01 Upon commencement of the appointment, the PDF Employee and their supervisor will convene a meeting to discuss the duties and expectations of the appointment and the PDF Employee's career objectives. Subsequent meetings will occur at least once per year, if requested by the PDF Employee.
- 8.02 The workload of a PDF Employee shall be fair and reasonable such that it enables the employee to maintain a healthy work/life balance. This should include recognition of the variable and unpredictable nature of the work, however, a PDF Employee will not normally be required to work beyond 50 hours per week.
- 8.03 Any PDF Employee who considers that their assigned workload does not support a healthy work/life balance shall have recourse to the Chair/Dean and the PDFA for a workload review, whose decision shall be final and binding.

- 8.04 With the prior agreement of the Supervisor, a PDF Employee may undertake teaching responsibilities up to a maximum of one full course per term, which will be considered a distinct employment relationship and governed under a separate employment contract. To the extent that a PDF Employee does undertake teaching responsibilities, this Agreement does not apply to any matters whatsoever related to the PDF Employee's teaching assignment.

ARTICLE 9: TERMINATION

- 9.01 Resignation: A PDF Employee will provide the Employer with two calendar weeks notice of resignation.
- 9.02 End of Contract: Employment ends automatically upon the expiration of the stated termination date in the appointment letter, without notice. Where the Supervisor intends to extend a PDF Employee's appointment, the Supervisor will make every reasonable effort to do so as far in advance as possible.
- 9.03 Supervisor-Initiated Termination for Cause: The Employer reserves the right to dismiss any PDF_Employee for just cause without any entitlement to notice or payment in lieu of notice. Dismissal for just cause must be conducted in a manner consistent with Article 16 - Discipline.
- 9.04 Supervisor-Initiated Termination Without Cause: Where the Supervisor terminates the appointment prior to the stated expiration date, the PDF Employee will be provided with notice, pay in lieu of notice, or a combination of notice and pay in lieu based upon the following schedule:
- i) employment of less than one year, notice or pay in lieu of notice of 4 weeks;
 - ii) employment of 1 - 2 years, notice or pay in lieu of notice of 6 weeks;
 - iii) employment of 2 - 3 years, notice or pay in lieu of notice of 8 weeks;
 - iv) employment of 3 - 5+ years, notice or pay in lieu of notice of 10 weeks;
- 9.05 Years of service for Article 9.04 will include any continuous employment as a Postdoctoral Employee for the Employer, including service in different PDF Employee positions or for different Supervisors. For purposes of determining continuous employment, any breaks of employment of less than 4 months or leave taken pursuant to Article 15 (Leave Without Pay) will not create a break in service.

ARTICLE 10: EVALUATION

- 10.01 The parties recognize the benefit of ongoing performance feedback and agree that the purposes of evaluations are to assist Employees in improving the quality of their work; assess the performance of Employees; and document the work performed by the Employee. Evaluations may also identify potential learning and development opportunities.
- 10.02 The Supervisor will conduct an evaluation every 12 months during the period of the Employee's appointment. At the conclusion of this evaluation, the Supervisor should consider whether an increase to the Employee's wage is warranted, however, any wage increase is at the sole discretion of the Supervisor. The decision to grant or withhold a wage increase will not be subject to the Dispute Resolution Procedure unless the decision was arbitrary, discriminatory or made in bad faith.
- 10.03 Nearing the conclusion of a PDF Employee's appointment an additional meeting and final evaluation will be conducted if requested by the PDF Employee.
- 10.04 The results of any evaluation will be shared with the PDF Employee and discussed between the PDF Employee and their Supervisor. Any documented performance feedback will be included in the PDF Employee's Personnel File. A PDF Employee will be entitled to append their comments to any evaluation.
- 10.05 Any performance feedback documents are developmental in purpose and will not be considered part of the disciplinary process.

ARTICLE 11: ACADEMIC FREEDOM

- 11.01 The Parties agree that academic freedom is fundamental to the mandate of universities to discover and disseminate new knowledge, to educate students, and to enable free intellectual inquiry and exchange.
- 11.02 The Parties agree that PDF Employees are developing their potential as independent **scholars**. Their Supervisors are responsible for providing them with appropriate measures of intellectual independence and academic freedom. As members of the academic community, PDF Employees have the right to learn, to carry out research, to publish, to comment, to criticize, to examine, to question, to acquire and disseminate knowledge, to create, and to perform; all of these without deference to prescribed doctrine insofar as the PDF Employee abides by the duties and responsibilities of their appointment(s).
- 11.04 Academic freedom does not confer legal immunity, nor does it diminish the obligations of the PDF Employee to fulfill the duties and responsibilities of their appointments. When exercising academic freedom in accordance with this Article, employees are entitled to exercise or assert their rights of academic freedom without reprisal from their supervisor.
- 11.05 In their capacity as researchers and scholars, PDF Employees shall not claim to speak on behalf of the University unless specifically authorized to do so. If there is likely to be

confusion as to whether a PDF Employee is speaking on behalf of the University, the PDF Employee shall make clear that the views expressed are their own.

ARTICLE 12: REMUNERATION AND BENEFITS

12.01 The minimum salary rate for a full time PDF Employee is:

- \$38,500 per annum on August 1, 2022.
 - All full time and part time PDF Employees with an active appointment on April 1, 2023, will receive a salary increase of 1.25%. PDF Guests and PDF Trainees receiving a salary “top up” are not eligible to receive a salary increase.
- \$38,981.25 per annum effective April 1, 2023 (an increase of 1.25%).
 - All full time and part time PDF Employees with an active appointment on December 1, 2023, will receive a salary increase of 1.50%. PDF Guests and PDF Trainees receiving a salary “top up” are not eligible to receive a salary increase.
- \$39,565.97 per annum effective December 1, 2023 (an increase of 1.5%).
 - All full time and part time PDF Employees with an active appointment on March 1, 2024, will receive an increase of 0.50%* retroactive to December 1, 2023. PDF Guests and PDF Trainees receiving a salary “top up” are not eligible to receive a salary increase.
 - *Subject to a gain sharing formula determined by the Government of Alberta. In the event that the average of all Private Forecasts for Alberta’s Real Gross Domestic Product for the 2023 calendar year is at or above 2.7% as of February 2024, the additional 0.5% will be added to the minimum salary rate March 1, 2024 (\$39,763.80).

A PDF Employee can be funded through restricted funds (e.g. grants, fellowships, donations endowments) and/or unrestricted funds (operating funds).

12.02 All full time PDF Employees and their eligible dependents (as defined by the Benefit Plan) are entitled to be enrolled in the University Postdoctoral Fellows Benefit Plan (as amended from time to time), unless their spouse/partner has comparable coverage. The cost of the benefits are covered by the Supervisor or Department.

12.03 Effective August 1, 2022, the Benefit Plan for all full time PDF Employees will include an annual Health Spending Account (HSA) allowance of \$500 for the reimbursement of Canada Revenue Agency eligible medical and dental expenses.

For the calendar year January 1, 2022 to December 31, 2022, the HSA will be prorated for 5 months starting August 1, 2022.

The HSA year is from January 1 to December 31. If an eligible PDF Employee is hired

on a date other than January 1, such PDF Employee will have their annual HSA allowance for the year in which they were hired prorated based on the number of complete months of employment remaining for that year divided by 12.

Any unused allocation in PDF Employee's HSA at the end of the HSA year will be carried forward to the next HSA year. The unused allocation cannot be carried forward beyond one HSA year. Any unused funds after the second year are forfeited back to the University in accordance with the Income Tax Act.

Outstanding expenses which exceed the annual HSA allocation shall not be carried forward to the next HSA year.

The HSA shall be implemented and administered in accordance with the Income Tax Act and all applicable regulations and guidelines. PDF Employees have 90 days after the end of a calendar year to submit claims that were incurred during that year. After this window of time, claims for the previous year will be declined.

Upon termination of employment, PDF Employees have 90 days to submit claims for eligible expenses incurred prior to the termination date.

- 12.04 The decision to provide a base pay adjustment will be in accordance with Article 10.02 (Evaluation).
- 12.05 The salary will be paid in arrears on a semi-monthly basis over the duration of the appointment.
- 12.06 The University is entitled to recover overpayment of salary (including reconciliation of entitlements) and the PDFs are entitled to recover underpayment of salary (including reconciliation of entitlements) resulting from errors. Both the University and PDF Employee are responsible for reporting overpayments or underpayments as soon as they become aware of the overpayment/underpayment. The University will correct underpayments of salary. Repayment schedules for PDF Employees will be based on the magnitude of the overpayment, length of time over which the error occurred, length of work time remaining, the taxation year and the impacts on the PDF Employee. The schedule will be mutually agreed to between the supervisor and employee. Should the parties not mutually agree the Dean will determine the repayment schedule.

ARTICLE 13: PAID LEAVE AND SICK LEAVE PROVISIONS

13.01 Effective August 1, 2022, a full time PDF Employee is entitled to paid days of leave per year according to the following schedule:

First and second year of employment	Twenty (20) days
Third to fifth (or greater) year of employment	Twenty-five (25) days

There will be no carryover of unused days.

13.02 Effective August 1, 2022, a full time PDF Employee will be eligible for up to five (5) paid sick leave days during each year of employment. There is no carry forward of unused paid sick leave days.

ARTICLE 14: MATERNITY AND PARENTAL LEAVE

14.01 PDF Employees contribute to Employment Insurance and are eligible to apply for maternity or parental leave under the terms and conditions of the EI Maternity and Parental benefits.

14.02 The Supervisor's contributions to the PDF Employee's extended health benefit plans will not continue during these periods. Employees may elect to continue their benefits plan at their own expense. Details can be found on the University Human Resources, Health and Environment Services website.

Maternity Leave

14.03 A pregnant PDF Employee who has been employed at the University for ninety (90) days is entitled to unpaid maternity leave for a period of eighteen (18) weeks commencing any time during the twelve (12) weeks immediately before the estimated date of delivery. Subject to the employees general illness leave entitlement; some or all of this time will be a paid leave.

14.04 A pregnant PDF Employee must give the Supervisor as much notice as possible, but in any case, at least two (2) weeks' written notice of the date the PDF Employee will start their Maternity Leave.

A pregnant PDF Employee may be required to submit a medical certificate to their Supervisor certifying the estimated date of delivery.

14.05 A PDF Employee whose pregnancy ends prematurely for reasons other than a live birth within sixteen (16) weeks of the estimated due date shall continue to be eligible for maternity leave.

- 14.06 A PDF Employee who takes maternity leave must take at least six (6) weeks of leave immediately following the delivery of the child unless:
- a) The PDF Employee and the Supervisor agree to a lesser period, and
 - b) The PDF Employee submits medical documentation to their Supervisor confirming that the resumption of work will not compromise the PDF Employee's health.
- 14.07 A pregnant PDF Employee who presents medical evidence from their physician which satisfies the University that continued employment in the PDF Employee's present position may be hazardous to the PDF Employee or to their unborn child, may request accommodation.

If during the twelve (12) week period immediately preceding the estimated date of delivery the pregnancy of a PDF Employee interferes with the performance of the PDF Employee's duties, the Supervisor may, by notice in writing to the PDF Employee, require that the PDF Employee start their Leave.

Parental Leave

- 14.08 A PDF Employee who has completed ninety (90) days of continuous service and who has or will have the actual care or custody of the newborn or newly adopted child, will be granted up to sixty-two (62) weeks of Parental Leave without pay within seventy-eight (78) weeks after the child's birth. The PDF Employee shall provide proof of the birth or adoption of the child and give the Supervisor reasonable notice in writing of the date on which the leave is to start. The date of the return to work shall be established before the start of the leave.
- 14.09 Where both parents of the child are University employees, the Supervisor may restrict the combined total Parental Leave to a maximum of sixty-two (62) weeks.

ARTICLE 15: LEAVE WITHOUT PAY

15.01 All PDFs are eligible for Employment Standard Code (Division 7) leaves in accordance with the terms of the statute. Should a PDF require an unpaid leave of absence, as outlined in 15.01, they must inform their Supervisor in writing. The Division 7 unpaid leaves (as of the date of this Agreement) are as follows:

- a) Maternity and Parental Leave
- b) Reservist Leave
- c) Compassionate Care Leave
- d) Death or Disappearance of Child Leave
- e) Critical Illness of Child Leave
- f) Long-term Illness and Injury Leave
- g) Personal and Family Responsibility Leave
- h) Bereavement Leave
- i) Leave for Citizenship Ceremony

15.02 Other leaves may be requested in writing by the PDF Employee and are subject to approval of the Supervisor and Appointing Officer.

ARTICLE 16: DISCIPLINE PROCESS

As a matter of practice and general principle, the parties endorse the concept of progressive discipline.

16.01 Discipline should be administered in a timely and respectful manner.

16.02 No PDF Employee who has completed the probationary period will be disciplined or terminated without just cause, except as otherwise set out in Termination Article 9.2 and 9.4.

16.03 Nothing in this Article will be construed to preclude normal discussions between Supervisors and PDF Employees concerning standards, expectations, or performance of work.

16.04 The disciplinary actions that may be taken by the Employer include, but are not limited to, letter(s) of warning or reprimand, suspension without pay, and dismissal. Such disciplinary actions will be in accordance with the principles of progressive discipline and be reasonable and commensurate with the seriousness of the behavior. Letters of Expectation will not be considered disciplinary.

16.05 PDF Employees are entitled to Union representation at any disciplinary meeting or any meeting that has a reasonable prospect for becoming disciplinary. PDF Employees will be provided a minimum of two (2) work days' notice of any such meeting and will be advised that they are entitled to Union representation at this meeting.

- 16.06 If not provided in writing during the disciplinary meeting, the PDF Employee will be notified in writing of the nature of any disciplinary action(s) taken and the reasons for such action(s) within five (5) work days of the disciplinary meeting, and a copy of the letter will be forwarded to the Union at that time.
- 16.07 The PDF Employee may provide a written rebuttal to the Employer of any disciplinary action taken.
- 16.08 An PDF Employee may be placed on a non-disciplinary suspension with pay pending investigation provided written notice is given to the PDF Employee and the Union.
- 16.09 All disciplinary meetings, interviews, and investigations will be treated as confidential subject to any limits to confidentiality in the respective University policy. Should the results of an investigation find the allegations against the PDF Employee are unsubstantiated, all records of such investigation will be removed from the PDF Employee's personnel file.
- 16.10 The PDF Employer will remove all records of discipline from the PDF Employee's personnel file eighteen (18) months after the date of discipline or at the end of the PDF Employee's appointment term (whichever comes first), provided no further disciplinary action is taken.
- 16.11 The PDFFA will have the right to Article 17 Dispute Resolution Process following any disciplinary action.

ARTICLE 17: DISPUTE RESOLUTION PROCESS

The parties confirm that the purpose of this process is to resolve grievances between the PDFA and the University in a timely and effective manner and to promote harmonious working relationships.

17.01 Definitions

- 17.01.01 “Grievance” means any dispute over the interpretation, application, operation or alleged violation of the Agreement, including whether the dispute is arbitral.
- 17.01.02 “Policy Grievance” means a dispute over the interpretation, application, operation or alleged violation of the Agreement by the Board or the PDFA that is not limited to a specific PDF Employee or a group of PDF Employees.
- 17.01.03 For the purpose of this article, “work days” means consecutive days, excluding Saturdays, Sundays or statutory holidays.
- 17.01.04 Time limits may be altered by mutual consent of the parties.

17.02 Informal Resolution of Disputes

- 17.02.01 The parties to a dispute will first make reasonable efforts to resolve the dispute through informal problem-solving.
- 17.02.02 PDF Employees and Supervisors are encouraged to resolve any dispute through one-on-one discussion to seek clarification and resolution. PDF Employees may seek guidance from the Union prior to speaking to their Supervisor. The discussion should take place within ten (10) work days of the time the PDF Employee should reasonably have become aware of the action or matters giving rise to a dispute and attempt to arrive at a mutually agreeable solution that is in accordance with the provisions of this Agreement.
- 17.02.03 If a PDF Employee brings a dispute to the Supervisor, and the dispute is not resolved, the PDF Employee may advance their concerns to the Department Chair, and if not resolved, to the Dean.
- 17.02.04 If a dispute arises between representatives of the PDFA and the Board over the interpretation, application, operation or alleged violation of the Agreement, the parties will make a reasonable attempt to resolve the dispute by informal problem solving before formalizing the dispute as a grievance. Informal problem-solving between the PDFA and the Board will normally involve the Provost (or **designee**), and any other parties determined by the Provost (or **designee**) and the PDFA President.

17.02.05 A PDF Employee will not be subject to reprisals as a result of raising a concern provided that such concerns are not frivolous, malicious, or vexatious.

17.03 Grievances

17.03.01 The PDFA has the exclusive authority if it so chooses to file individual, group or policy grievances on behalf of a PDF Employee.

17.03.02 A formal grievance will be initiated in writing and will specify the details of the dispute, refer to the clause or clauses of the Agreement which are alleged to have been violated, and describe the desired resolution.

17.03.03 The formal grievance will be submitted to the Provost, with a copy to the Director, Faculty Relations and other parties if relevant.

17.03.04 The formal grievance must be submitted within 15 work days of the date that the matters giving rise to the grievance are known or ought to have been known by the PDF Employee or the PDFA. This timeline applies regardless of the existence or progress of any informal resolution efforts, and may only be extended by in accordance with Article 17.04.03.

17.03.05 The Provost (or **designee**) will convene a meeting involving representatives of the Board and the PDFA within 20 work days of receipt of the grievance. The participants will engage in an open, fair and balanced discussion of the issues, interests, options and potential solutions to the grievance. Additional meetings may be convened by the Provost (or **designee**) as required.

17.03.06 The Provost (or **designee**) will provide a written response to the grievance within 20 work days of the final meeting.

17.03.07 Discussions, correspondence and agreements reached at this stage are confidential and without prejudice to the legal or contractual rights of the parties, and any agreements shall be confirmed in writing.

17.03.08 If the decision of the Provost (or **designee**) fails to resolve the grievance, the PDFA may advance the grievance to arbitration in accordance with Article 18 by providing the Provost (or **designee**) with written notice within 30 days following receipt of the Provost's (or **designee**) decision/response to the grievance.

17.03.09 The Provost may file grievances on behalf of the Board. Such grievances will be submitted to the PDFA President (or **designee**) and processed in accordance with 18.03. The PDFA President will perform the equivalent role of the Provost in reviewing and responding to such grievances.

17.03.10 Mediation is an optional step prior to Arbitration, if mutually agreed to. Mediation will be in accordance with Article 17.05 Mediation.

17.04 Time Limits

- 17.04.01 In the event that the Party initiating an action under the foregoing procedures fails to follow the time limits described therein, the grievance will be deemed abandoned.
- 17.04.02 Where the Party receiving the grievance fails to respond in accordance with the time limits established therein, the grievance will advance to the next step.
- 17.04.03 Either Party may request an extension of the time limits, provided that such extension is requested prior to the expiry of the time allowed. Where such extension is requested, it will not be unreasonably denied.

17.05. Mediation

- 17.05.01 Mediation is a process by which the Parties come together for open communication of their differences, assisted by a trained mediator, with the intention of reaching a mutual solution for the problem.
- 17.05.02 Upon mutual agreement of the PDFA and the Provost (or **designee**) the parties may agree to mediate the grievance at any point of the grievance process.
- 17.05.03 The matters discussed in mediation are kept confidential and cannot subsequently be used by one Party against the other if mutual agreement is not reached. The discussions that take place during mediation are confidential and private; and information shared during the mediation process cannot be used against either Party after mediation has concluded, regardless of the outcome.
- 17.05.04 Any agreement reached by the Parties during the mediation will be written down and will not create any precedent for future grievances or disputes.

ARTICLE 18: ARBITRATION

18.01 Grievance Arbitration

- 18.01.01 A matter referred to arbitration under this Article shall be heard by a single arbitrator except where the Board and the Association agree to refer the matter to a three-person arbitration panel. Hereinafter all references to arbitrator shall be deemed to include an arbitration panel.
- 18.01.02 If a grievance is initiated by the PDFA, is properly considered in accordance with Article 17 and is not resolved, the PDFA will have sole authority to decide whether to refer the grievance to arbitration on behalf of the PDFA or one or more PDF Employees.
- 18.01.03 If a grievance is initiated by the Provost, is properly considered in accordance with Article 17 and is not resolved, the Provost may refer the unresolved grievance to arbitration on behalf of the Board.

18.02 Arbitration Panel

- 18.02.01
 - a) In the case of a single arbitrator, the arbitrator shall be appointed by agreement of the Provost and the PDFA President.
 - b) In the case of a three-person arbitration panel, each party will select its nominee to the binding arbitration panel and will notify the other of its nominee within 10 work days of receipt of a referral to arbitration. The Provost and the PDFA President will jointly select a third person to serve as chair.
 - c) If an agreement cannot be reached in either a) or b), either party may apply to the Chair of the Alberta Labour Relations Board for the appointment of the arbitrator/chair.
- 18.02.02 The parties may agree in writing to appoint one person to serve as an arbitration panel as an alternative to a three-person panel.
- 18.02.03 The arbitration panel will review submissions, conduct hearings and render a decision that is final and binding on the parties.
- 18.02.04 An arbitration panel constituted to resolve a grievance will not by its decision amend the terms of the Agreement.
- 18.02.05 An arbitration panel constituted to resolve a collective bargaining dispute will not by its decision amend terms of the Agreement beyond the items referred to it by the parties for resolution.
- 18.02.06 Hearings before the arbitration panel are private and confidential.

- 18.02.07 No person will be appointed as an arbitrator if the person is directly affected by the dispute, or if that person has been involved in an attempt to settle the dispute.
- 18.02.08 The arbitrator will confine their decision to the grievance submitted.
- 18.02.09 The arbitrator will not substitute their judgment for that of the Employer, or any officer of the University acting on behalf of the Employer, where the exercise of such judgment is not specifically limited by the terms of this Agreement.
- 18.02.10 When dealing with grievances concerning disciplinary action, if the arbitrator determines that sufficient grounds for discipline exist, the arbitrator may substitute some lesser disciplinary action specified in Article 16 that the arbitrator deems just and reasonable in the circumstances.
- 18.02.11 The arbitration panel will not be bound by rules of evidence. Unless limited by this Agreement, the panel may establish procedures for the orderly conduct of the arbitration. Procedural rulings may be made by the panel chair but are subject to reversal by a majority vote of the arbitration panel.
- 18.02.12 The decision of the majority of members of the three-person arbitration panel will be the decision of the panel. If no majority exists, the decision of the chair will be the decision of the panel.
- 18.02.13 The arbitration panel will hear the matters before it within 20 work days of its formation and render its decision no later than 20 work days following the final presentations by the parties.
- 18.02.14 The costs of the arbitration panel chair will be shared equally by the parties.
- 18.03 Time limits may be altered by mutual agreement of the parties.

ARTICLE 19: LEGISLATION AND THE COLLECTIVE AGREEMENT

- 19.01 Where this Agreement confers a right or benefit which is superior to that provided by a statute passed by the Government of Canada or Alberta, such superior right or benefit will prevail.
- 19.02 In the event that any statute passed by the Government of Canada or Alberta renders null and void, or alters any provision of this Agreement, the Parties agree to address the effect of such change via a Letter of Understanding.

ARTICLE 20: NO STRIKES OR LOCKOUTS

- 20.01 The Union agrees that there will be no strike during the term of this Agreement.
- 20.02 The Employer agrees that there will be no lockout during the term of this Agreement.
- 20.03 PDFFA Employees will not be required to perform duties beyond their normal responsibilities as a result of any labour dispute.

ARTICLE 21: COLLECTIVE BARGAINING

21.01 Notice to Commence Collective Bargaining

- (a) Either party may give the other notice in writing of its intention to commence bargaining with a view to striking a new Agreement not less than 60 nor more than 120 calendar days prior to the expiry date of this Agreement. The notice will include the names of the bargaining team members. The other party will acknowledge receipt of the notice within 10 work days, including the names of their bargaining team.
- (b) Any notice required will be deemed to have been sufficiently given or served if personally delivered or emailed. Where notice is emailed to the appropriate party, it is deemed to have been received within 1 day of the date of sending.
- (c) Notice for the purpose of this Agreement will be addressed in the case of the Employer, (to the Provost), or in the case of the Union, to the Vice-President (Internal) of the Union.

Prior to the meeting to exchange written proposals, the chairs of the negotiating teams will meet to discuss and confirm procedures for upcoming negotiations, including the format of proposals, the scheduling of negotiating sessions, the collection and exchange of relevant information, and other procedural matters the chairs believe are needed to facilitate effective, efficient and constructive bargaining.

- (d) At the first meeting to begin negotiations, between the parties following such notice, the parties will simultaneously exchange their respective total proposal, whereupon neither party will table any further new and unrelated proposal except by mutual agreement. Notwithstanding the above, the parties may, by mutual agreement, adopt a different procedure.
- 21.05 The negotiating teams will bargain in good faith on behalf of the parties in an effort to conclude a Memorandum of Settlement describing the terms of a new Agreement.
 - 21.06 A Memorandum of Settlement concluded by the negotiating teams will be submitted to the Board and the postdoctoral fellows employees for ratification.

21.07 If a settlement is reached but not ratified by one or both parties, collective bargaining shall resume in an effort to achieve a settlement of unresolved bargaining issues. In such case, the parties shall continue to bargain collectively in good faith and make every reasonable effort to enter into a collective agreement.

APPENDIX A

Letter of Understanding
Between
The University of Alberta (U of A)
and the
Post - Doctoral Fellows Association (PDFA)
Trainees and Guests

The parties have agreed to a joint committee (hereinafter referred to as the committee) to meet to make a recommendation to the parties regarding the scope of the Collective Agreement, specifically to address the extent, if any, of the inclusion of PDF Trainees and PDF Guests as part of Collective Agreement. Their inclusion in the agreement would be subject to ratification by both parties.

The committee shall have two voting representatives from each party. Any resource members shall not have voting privileges. Dates and times of the meetings will be arranged by the committee members.

The committee shall hold its first meeting within six weeks of the date of ratification of the collective agreement. Thereafter, the committee shall meet monthly until such time as an agreed upon recommendation has been completed.

Should the committee be unable to reach an agreement within one calendar year of the date of the first meeting, or an impasse is declared prior to one year, the parties will submit their positions to the Alberta Labour Relations Board for a determination ruling on whether PDF Trainees and PDF Guests are members of the bargaining unit.