

Issue: Compliance – Grievance Procedure (5-Day Rule); Ruling Date: March 21, 2013; Ruling No. 2013-3560; Agency: Department of Taxation; Outcome: Grievant Not in Compliance.



COMMONWEALTH of VIRGINIA
Department of Human Resource Management
Office of Employment Dispute Resolution

COMPLIANCE RULING

In the matter of the Department of Taxation
EDR Ruling Number 2013-3560
March 21, 2013

The Department of Taxation (the “agency”) has requested a compliance ruling related to the grievant’s January 3, 2013 grievance. The agency alleges that the grievant has failed to comply with the time limits set forth in the grievance procedure for advancing or concluding her grievance.

FACTS

On January 3, 2013, the grievant initiated a grievance with the agency. The grievance advanced through the second resolution step, and the agency gave its third resolution step response to the grievant on February 19, 2013. On March 5, 2013, the agency e-mailed a letter of noncompliance to the grievant, indicating the agency had not received a response from the grievant. Additionally, the agency requested a response from the grievant within five workdays upon receipt of the noncompliance letter, and indicated the agency would seek administrative closure of the January 3rd grievance if no response was received. On March 5, 2013, the grievant responded to the agency by e-mail, indicating she did not understand the agency’s e-mail. The agency’s human resource director responded to the grievant’s e-mail inquiry on the same day, and clarified the purpose of the noncompliance letter and provided further explanation what was required of the grievant. The grievant responded to the agency’s human resource director’s e-mail, stating “I am sorry, in mail, please. [t]hank you, ma’am.” Within an hour, the agency’s human resource director responded to the grievant’s e-mail, inquiring what the grievant meant by her most recent e-mail. As of March 18, 2013, the agency has not received a response from the grievant.

Since more than five workdays have elapsed since the agency’s notification to the grievant of her alleged noncompliance, and the grievant has not yet advanced or concluded her grievance, the agency seeks a compliance ruling allowing it to administratively close the grievance.

DISCUSSION

The grievance procedure requires both parties to address procedural noncompliance through a specific process.¹ That process assures that the parties first communicate with each

¹ *Grievance Procedure Manual* § 6.3.

other about the noncompliance, and resolve any compliance problems voluntarily, without this EDR's involvement. Specifically, the party claiming noncompliance must notify the other party in writing and allow five workdays for the opposing party to correct any noncompliance.² If the opposing party fails to correct the noncompliance within this five-day period, the party claiming noncompliance may seek a compliance ruling from EDR, who may in turn order the party to correct the noncompliance or, in cases of substantial noncompliance, render a decision against the noncomplying party on any qualifiable issue. When an EDR ruling finds that either party to a grievance is in noncompliance, the ruling will (i) order the noncomplying party to correct its noncompliance within a specified time period, and (ii) provide that if the noncompliance is not timely corrected, a decision in favor of the other party will be rendered on any qualifiable issue, unless the noncomplying party can show just cause for the delay in conforming to EDR's order.³

In this case, the grievant appears to have failed to advance or conclude her grievance within five workdays of receiving the agency's third resolution step response, as required by the grievance procedure.⁴ Moreover, the agency has apparently notified the grievant of her noncompliance, but the grievant has not advanced or concluded her grievance.

As the grievant has apparently failed to advance or conclude her grievance in a timely manner, she has failed to comply with the grievance procedure. EDR therefore orders the grievant to correct her noncompliance **within ten work days of the date of this ruling** by notifying her human resources office in writing that she wishes either to conclude or advance the grievance to the agency head for a qualification determination. If she does not, the agency may administratively close the grievance without any further action on its part. The grievance may be reopened only upon a timely showing by the grievant of just cause for the delay (for example, a serious illness, or other circumstances beyond the grievant's control).

EDR's rulings on matters of compliance are final and nonappealable.⁵



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² See *id.*

³ While in cases of substantial noncompliance with procedural rules the grievance statutes grant EDR the authority to render a decision on a qualifiable issue against a noncompliant party, EDR favors having grievances decided on the merits rather than procedural violations. Thus, EDR will *typically* order noncompliance corrected before rendering a decision against a noncompliant party. However, where a party's noncompliance appears driven by bad faith or a gross disregard of the grievance procedure, EDR will exercise its authority to rule against the party without first ordering the noncompliance to be corrected.

⁴ See *Grievance Procedure Manual* § 3.3.

⁵ See Va. Code §§ 2.2-1202.1(5); 2.2-3003(G).