	3	Jonathan H. Siegel #78143 Latika Malkani #184301 Benjamin J. Siegel #256260 SIEGEL, LEWITTER & MALKANI 1939 Harrison Street, Suite 307 Oakland, CA 94612 (510) 452-5000 (phone) (510) 452-5004 (fax)		
	6	Attorneys for Petitioner NATIONAL UNION OF HEALTHCARE WORKERS		
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	8		TES OF AMERICA . LABOR RELATIONS BOARD	
	9	BEFORE THE NATIONAL	LABOR RELATIONS BOARD	
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	11 12	ALTA BATES SUMMIT MEDICAL	) Case No. 32-RC-088536	
	13	CENTER Employer,	) ) PETITIONER NUHW'S REQUEST FOR ) REVIEW OF REGIONAL DIRECTOR'S	
	14	and	) DECISION TO DISMISS ) REPRESENTATION PETITION	
	15	NATIONAL UNION OF HEALTHCARE WORKERS	) )	
	16	Petitioner,	) )	
	17	and	) )	
	18	SEIU UNITED HEALTHCARE	) )	
	19	WORKERS-WEST,  Incumbent Union/Intervenor.	) ) }	
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PETITIONER NUHW'S REQUEST FOR REVIEW OF REGIONAL DIRECTOR'S DECISION TO DISMISS REPRESENTATION PETITION – Case No. 32-RC-088536

#### I. INTRODUCTION

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Pursuant to section 102.67(c), subdivisions (1) and (4), of the National Labor Relations Board's Rules and Regulations, Petitioner the National Union of Healthcare Workers (NUHW or Petitioner) requests review of the September 12, 2012 decision of Regional Director William A. Baudler dismissing the representation petition in the above-referenced matter. Petitioner asserts this request should be granted because the unique circumstances of this case, in which the parties reached a contract before the instant petition was filed, coupled with compelling policy considerations and other well-established Board doctrines allowing for employees to chose their bargaining representatives at appropriate times, warrant the inapplicability of, and/or an exception to, the certification-year rule, in this case.

#### II. BACKGROUND

Since early 2009, a very substantial number of employees at Alta Bates Summit Medical Center ("employer"), in Berkeley, California, have been unhappy with their current bargaining representative, Service Employees International Union, United Healthcare Workers—West ("SEIU UHW" or "Incumbent"), and have indicated a desire to change bargaining representatives. Those employees first filed a petition on February 2, 2009, seeking a prompt election and an opportunity to freely choose between the incumbent SEIU UHW and a newly formed union, the petitioner NUHW. See Exhibit 1, Representation Petition in Case No. 32-RC-5612. As the Board may know, this original 2009 petition, along with many others filed in 2009 by employees seeking an opportunity to change their bargaining representative from SEIU UHW to NUHW, was initially blocked from processing for years based on unfair labor practice charges filed by SEIU UHW, and alleging novel theories, that were ultimately, either dismissed or withdrawn after findings that the charges had no merit. See, e.g., Board record in Case No. 32-RC-5612.

While the initial February 2009 petition was pending, but not being processed, the employer bargained with and signed a collective bargaining agreement with the incumbent union. By its terms, this agreement states it is effective March 13, 2010 through December 31, 2012. See

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Exhibit 2, SEIU UHW—Alta Bates Summit Medical Center Collective Bargaining Agreement (Agreement). Throughout this time, beginning from the February 2, 2009 petition, and until the employer and the incumbent entered the agreement, the existence of the pending 2009 petition had no adverse impact on the employer's relations with the incumbent union. During this long time period, the employer did not refuse to bargain with the incumbent, nor withdraw recognition from the incumbent, based upon the existence of the pending February 2009 petition.

Finally, nearly two years after its filing, the February 2009 petition resulted in an election, which was conducted on January 21, 2011. NUHW filed objections to the election, which resulted in a May 2011 hearing. On August 10, 2011, those objections were overruled. On December 19, 2011, this Board certified the incumbent union as the representative of the petitioned-for employees.

Meanwhile, during the January 2011 election, the filing of objections, the objections hearing, and during other post-election matters, the employer continued to recognize the incumbent and to honor the terms of its antecedent Agreement with the incumbent, which expires on December 31, 2012. Throughout this time, the incumbent union and the employer were quickly negotiating a successor contract, and on August 17, 2012, the incumbent union claimed, via a flyer it distributed throughout the bargaining unit, to have successfully settled a new contract with the employer. See Exhibit 2, "Urgent Update" flyer. On August 24, 2012, the incumbent union claimed that the bargaining unit had ratified its new "three year contract." See Exhibit 2, SEIU UHW webpage, "SEIU—UHW Members at Sutter Eden, Delta and ABSMC Win Contract." Again, throughout this time, there is no evidence whatsoever that the representation election had any disruptive impact on the collective bargaining relationship between the incumbent union and the employer. Rather, the incumbent union and the employer were able to attempt to prematurely extend their contract through negotiating a successor agreement even before the beginning of the filing window prior to the December 31, 2012 expiration of the existing antecedent Agreement.

The instant petition, Case No. 32-RC-088536, was filed on September 4, 2012, during the heath care window period for filing such a petition, prior to the December 31, 2012 expiration

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date of the antecedent Agreement (Exhibit 2). The instant petition was dismissed on September 12, 2012, without hearing or the benefit of a developed record, because it was found to have "run[] afoul of the Board's certification-year rule, which precludes the processing of election petitions filed within one year of a Board certification in the petitioned-for bargaining unit, absent circumstances not shown to be present here." This timely request for review follows.

#### III. ARGUMENT

Petitioner's request asserts that review is warranted because (1) the decision to dismiss this petition raises a substantial question of law and policy because it represents a departure from existing Board precedent concerning the doctrine against premature extensions being allowed to deprive a petitioner of the open period under the original contract, and, alternatively, (2) the decision to dismiss presents compelling reasons for reconsideration of an important Board rule and policy concerning the application of the Board's certification bar rule, as it here can be construed to effectively stifle free choice by potentially allowing the imposition of a certification-year rule to eliminate the singular window

A. The Unique Factual Circumstances of this Case Render the Certification-Year Rule Inapplicable, And/ Or Warrant an Exception to the Certification-Year Rule

The certification-year rule is a Board-created doctrine that it built on the public policy of allowing a recently elected union to stabilize a bargaining relationship with an employer by negotiating a post-election contract without the added interference of an additional decertification campaign. However, as a Board created doctrine, the application of the certification bar is not applied of rote, but is to be determined on a case-by-case basis. In particular, the Board has, on occasion, found an exception to the certification bar rule where there were "unusual circumstances" that allowed for the processing of a petition that was filed within one year from certification. See, e.g. *Ludlow Typograph Co.*, 108 NLRB 1463, 1464-1465 (1954), recognizing "that the Act is designed primarily to protect the right of employees to self-organization" and that "when a substantial number of employees have indicated a desire to change bargaining representatives" then restraints on elections "should not extend beyond what is absolutely

essential for the establishment of sound labor relations."

In dismissing the instant petition, the Regional director cited cases which are distinguishable in several aspects. First, in both cases, and in nearly all cases where the certification-year rule has been applied, there is strong evidence of employer hostility, and of a consequent failure to properly bargain and to negotiate a contract, with the certified union. For example, in *United Supermarkets*, 287 NLRB 119, 119 (1987), cited by the Regional Director, the Board was addressing a decertification petition that was filed within the post-certification year, and during a time in which there was evidence that the employer was reluctant to bargain and had refused to comply with prior Board orders to remedy unlawful conduct directed at the employees who were the subject of the decertification petition. In applying the certification-year rule, the Board therein noted how the decertification petition influenced the employer's conduct towards the certified union: "...it is also true that the Respondent relied in part on this prematurely filed petition to support its withdrawal." *Id.* at 120. The Board also noted that the proof of support accompanying the petition was "unreliable as an indicator of uncoerced employee sentiment" as there remained unremedied unfair labor practices in existence when signatures were gathered in support of the decertification petition. *Ibid.* 

Similarly, in *Americare-New Lexington Health Care Center*, 316 NLRB 1226 (1995), also cited by the Regional Director, the Board was considering a situation wherein an employer repeatedly attempted to withdraw recognition and refused to bargain with a certified union, requiring extensive intervention by the Board in order to force the employer to come to the table and bargain with the union. When the employer withdrew recognition again based on alleged evidence of decertification, the Board upheld an extension of the certification-year rule to account for the "hiatus in bargaining" during which the employer had withdrawn recognition and refused to bargain. *Id.* at 1226-1227. Again, the reason for imposing the certification-year rule was so that the parties could bargain a new contract free from the distractions caused by a decertification campaign: "There is at least as great a need for a guaranteed postelection insular period *in which the bargaining relationship can stabilize and succeed.*" *Id.* at 1226 (emphasis added).

Here, there are several factors that are unique to this case and argue against the imposition

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of the certification-year rule, including but not limited to: the lengthy and cooperative history of bargaining between the employer and the incumbent; the time between the election and certification; the extraordinary time it took for the prior election petition, filed in 2009, to result in an initial election; the multiple year bar that would result if the old contract, the new contract, and the certification bar were allowed to all piggy-back on one another such that a bar to the filing of a new petition would effectively allow for a premature extension to stifle free choice, and would allow for a contract of unreasonable duration, which is contrary to other well-established Board law. However, perhaps most importantly, unlike in the cases cited by the Regional Director, and in virtually all the cases in which the Board has stressed the importance of applying the certification-year rule, this is not a case where the employer was withdrawing recognition from the incumbent or was even hostile to bargaining a successor contract based on the filing of a rival petition. The entire premise of applying the certification-year rule is to facilitate bargaining, and to protect the incumbent union from employer hostility and threats to withdraw recognition that are linked to a decertification campaign. However, here, the instant petition was filed on September 4, 2012, after the incumbent union announced (on September 24, 2012) that it had ratified a new successor contract, and even before the antecedent contract expired. Where the parties have already settled the contract, there is no need to apply the certification-year rule, and applying it here only serves to stifle free choice, without furthering industrial stability. Given these circumstances, as in *Ludlow*, barring an election does not at all appear to be "absolutely essential for the establishment of sound labor relations." Ludlow Typograph Co., supra, 108 NLRB at 1464-1465 (1954).

B. The Dismissal of the Instant Petition Runs Afoul of Other Well-Established Board Doctrines and Prevents Employees from Making a Change in Their Bargaining Representatives at an Appropriate Time

The dismissal of this petition, filed during a window that is absolutely appropriate but for the application of the Board-created certification-year rule to this case, potentially runs afoul of another Board created doctrine, the doctrine against allowing a premature extension to deprive the employees covered under the original contract from making a change in their bargaining

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representatives during the open period under the original contract. Here, where the antecedent contract claims to be effective through December 31, 2012, and where the new prematurely extended contract was allegedly ratified on August 24, 2012, well-settled Board law provides that "if a petition is filed during the open period calculated from the expiration date of the old contract, the premature extension will not be a bar." M.C.P. Foods, 311 NLRB 1159 (1993). But, if the certification-year rule is given priority over the Board's other doctrine, the result is that employees at Alta Bates are potentially effectively prohibited from filing any representation petition from March 13, 2010 through December 31, 2012 (based on the antecedent contract), and from August 24, 2012 for another three years, until the second window on the new contract in 2015. Such a result would plainly violate the doctrine against premature extensions foreclosing any window for filing, and would additionally seemingly create a five-year contract bar (2010 to 2015), which is additionally effectively a contract of unreasonable duration. Union Carbide Corp., 190 NLRB 191, 192 (1971). Thus, by dismissing the instant petition by a rote application of the certificationyear rule, without adequate consideration of these other Board doctrines, the Regional Director has raised important policy considerations for this Board about how these doctrines must be reconciled.

At least, a hearing is needed to consider these countervailing policies and to determine whether free choice should be held subservient to stabilizing the collective bargaining relationship in this case, when the incumbent and the employer have already reached a successor contract, and where the employees seeking a change in bargaining representative are potentially subject to a multi-year contract bar.

#### IV. **CONCLUSION**

For all the foregoing reasons, Petitioner NUHW respectfully requests that the Board grant this request for review and issue appropriate directions to the Regional Director to rescind his dismissal of the instant petition, to reinstate the petition, and to resume processing of the petition. At least, Petitioner requests that this Board issue directions to the Regional Director to reinstate the petition with directions that the Regional Director hold a hearing and develop a record to hear

evidence and argument regarding whether the factual circumstances surrounding the instant 1 2 petition warrant application of the certification-year rule in this very unique case. 3 DATED: October 16, 2012 SIEGEL, LEWITTER & MALKANI 4 5 Jonathan H. Siegel Latika Malkani 6 Benjamin J. Siegel Attorneys for Petitioner NATIONAL UNION OF 8 **HEALTHCARE WORKERS** 9 *10* 11 12 13 14 15 16 *17* 18 19 20 21 22 23 LeWitter & 24 1939 Harrison Street 26 Oakland, CA 94612 27 28

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	2	PROOF OF SERVICE					
	3	I declare that I am employed in the county of Alameda, California. I am over the age of					
		eighteen years and not a party to the within action. My business address is 1939 Harrison Street,					
	<i>4</i> 5	Suite 307, Oakland, California 94612.					
		On October 16, 2012, I served the within document:					
	6 7	DETITIONED NIHWYS DEGUEST FOD	DETITIONED MITTURE DECLIERE EOD DEVIEW OF DECIONAL DIDECTORS				
	8	_	PETITIONER NUHW'S REQUEST FOR REVIEW OF REGIONAL DIRECTOR'S  DECISION TO DISMISS REPRESENTATION PETITION				
	9	on the interested party(ies) herein by sending a true copy as follows:					
	10	William A. Baudler, Regional Director National Labor Relations Board, Region 32	Bruce A. Harland Weinberg, Roger & Rosenfeld				
	11	1301 Clay Street, Room 300-N Oakland, CA 94612-5211	1001 Marina Village Pkwy, Ste 200 Alameda, CA 94501				
	12	Email: NLRBRegion32@nlrb.gov	Fax: 510-337-1023				
	13		Email: bharland@unioncounsel.net				
	14	Executive Secretary National Labor Relations Board	Mark Pelkey, Director of HR Alta Bates Summit Medical Center				
	15	1099 14 <sup>th</sup> Street, N.W. Washington, D.C. 20570-0001	2450 Ashby Avenue Berkeley, CA 94705				
	16						
	17	Sutter Health – Office of the General Counsel					
	18	2200 River Plaza Dr. Sacramento, CA 95833-4134					
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	21	correspondence will be deposited with the U.S. Postal Service this same day in the ordinary course of business.					
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INTERNET FORM NLRB-602

#### UNITED STATES GOVERNMENT NATIONAL LABOR RELATIONS BOARD

	FORM EXEMPT UNDER 44 U.S.C.		
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	PETITION			32-R	C-5612	2-2-2	nna
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WILLFUL FALSE STATEMENTS ON THIS PETITION CAN BE PUNISHED BY FIRE AND IMPRISONMENT (U.S. CODE, TITLE 10, SECTION 1001)

PRIVACY ACT STATEMENT

Solicitation of the information on this form is authorized by the National Labor Relations Act (NLRA), 29 U.S.C. 6 151 et seq. The principal use of the information is to assist the National Labor Relations Board (NLRB) in processing unfair labor practice and related proceedings or illigation. The routine uses for the information are fully set forth in the Federal Register, 71 Fed. Reg. 74942-43 (Dec. 13, 2006). The NLRB will further explain these uses upon request. Disclosure of this information to the NLRB is voluntary, however, failure to supply the Information will cause the NLRB to decline to invoke its processes.

Date

Date

Date



## United Healthcare Workers - West

Service Employees International Union CTW, CLC

560 Thomas L. Berkley Way Oakland, CA 94612

510-251-1250 \* 800-585-4250

www.seiu-uhw.org Quality Healthcare for All

Collective Bargaining Agreement with

# Alta Bates Summit Medical Center

Effective March 13, 2010 - December 31, 2012

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#### AGREEMENT

THIS AGREEMENT is made and entered into by and between ALTA BATES SUMMIT MEDICAL CENTER whose name and address is set forth below, hereinafter called "Hospital, Medical Center, or Employer" and the SERVICE EMPLOYEES INTERNATIONAL UNION, UNITED HEALTHCARE WORKERS WEST hereinafter called the "Union."

#### WITNESSETH

#### **PREAMBLE**

The Employer and the Union agree that all Hospital employees and managers will treat each other, regardless of position, with dignity, respect, courtesy and trust. The foregoing principle should also apply in providing services to patients and visitors.

Both Parties recognize that it is to their mutual advantage and for the protection of the patients to have efficient and uninterrupted operation of the Medical Center. This Agreement is for the purpose of establishing such harmonious and constructive relationships between the parties that such results will be possible.

It is mutually agreed that it is the duty and right of the Administration to manage the Medical Center and to direct the working forces. This includes the right to hire, transfer, promote, reclassify, layoff, and discharge employees, subject only to the conditions herein set forth.

#### SECTION 1. RECOGNITION

- 1.1 The Medical Center recognizes the Union as the exclusive bargaining agent for employees covered by this Agreement whose classifications are listed in Appendix A. Excluded from the bargaining unit are office and clerical employees at the Alta Bates campus, cooks, stationary engineers, technical and professional employees, guards, supervisors and such other classifications as may have been historically excluded from the unit. The Agreement shall apply to other classifications which may be established within the scope of the duties now and historically included within the listed classifications.
- 1.2 In the event the Employer finds it necessary to subcontract, merge, sell, permanently dose the Medical Center or a department thereof that employs employees covered by this Agreement, the Employer shall notify the Union at least thirty (30) days in advance of such action. The parties shall discuss the

impact of such action upon employees working under this agreement. Discussion of the impact will include possibilities of alternative employment, placement counseling and assistance necessary to process unemployment insurance claims and benefit conversions. Should such subcontracting, merger, sale or closure result in permanent layoff, employees with one (1) year of service will be provided a minimum of two (2) weeks' notice.

#### SECTION 2. SUCCESSORS

- 2.1 For the purposes of the 2010 to 2012 Agreement only, in the event of a merger, sale, closure, leasing assignment, divestiture, or other transfer of ownership of the Medical Center or one of its patient care facilities in which represented employees work, the Employer shall comply with the following:
- 2.1.a <u>Notification</u>. The Employer shall notify the Union in writing at least ninety (90) days prior to taking any action described in the preceding paragraph, except hospital closure for which six (6) months advance notice is required.
- 2.1.b Successor. This Agreement shall be binding upon the Union and the Employer or any successor thereof whether the succession be by any of the means described above as it applies to the business of the Employer, in whole or in part, or to any change in management companies.

Any adoption of the contract by a successor binds the successor only for the purposes of the classifications of the employees working at the Medical Center represented by the Union at the time of the event giving rise to the successor. The successor shall be bound by the organizing and election procedures in Section 7 of this Agreement only with respect to employees working at the Medical Center presently not represented by a labor union.

#### 2.1.c Conditions and Liabilities:

In the event the Employer desires to sell or otherwise transfer the establishment or engage in any other future acts set forth above and covered by this Agreement, it shall be a condition of the sale and/or transfer and inserted into any agreement of sale or management contract that this collective bargaining agreement and all its obligations thereof shall be binding upon any purchaser or transferee, except the purchaser or transferee may offer comparable benefit plans in lieu of the Medical Center's plans. Prior to taking any action described in this provision, the Employer shall comply with all its legal and contractual obligations regarding the compensation and payment due and owing to the employees or the Union.

#### SECTION 42. TERM OF AGREEMENT

This Agreement shall be effective upon ratification and shall remain in full force and effect through December 31, 2012.

IN WITNESS WHEREOF, the duly authorized undersigned parties have hereunto fixed their signatures this <u>9th</u> day of <u>September</u> 2010.

For the Employer:

ALTA BATES SUMMIT MEDICAL CENTER

For the Union:

SEIU UNITED HEALTHCARE WORKERS-WEST

Wairen Kirk

Chief Executive Officer

mul W But

Dave Regan

Trustee

Mark Beiting

Vice President of Human Resources

Hal Ruddick

Director

Richard Hingham

Director of Employee & Labor Relations

Carrie Cianchetti

Chief Negotiator

Kathryn Adams

EVS - Summit

Alta Bates Summit Medical Center Bargaining Committee Member

## At ABSMC...

# URGENT UPDATE ON OUR CONTRACT SETTLEMENT

Our SEIU-UHW East Bay Region Bargaining Team has reached a contract agreement with Sutter. Our contract includes:

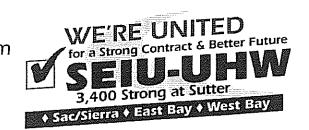
- ☑ Fights back Management's WARN notice
- ☑ Raises: 2% raises each year for the next 3 years, plus 2% ratification bonus
- ☑ Steward hours increased
- ☑ Vacation days no change
- ☑ Sick days— no change
- ☑ Retirement no change
- ☑ Holidays no change
- ☑ Health Insurance maintains free health insurance option
- ☑ Improved representation language
- ☑ Secured historic severance package for Business Office

Our Bargaining Team enthusiastically recommends contract ratification.

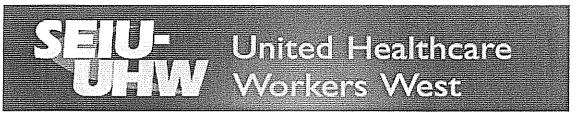
### **Vote YES! to protect our contract:**

Ashby and Summit campuses
August 21 and 22 from 6am-4pm and 6pm-9pm
Herrick and Providence campuses

August 23 from 6am-9am and 11am-5pm



T



About

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Let's Get Healthy!

# SEIU-UHW Members at Sutter Eden, Delta and ABSMC Win Contract

2,000 SEIU-UHW members at Sutter Eden, Delta and Alta Bates Summit Medical Center reached an agreement with Sutter Health and ratified their new contract. Members' three-year guaranteed contract secures fully paid healthcare benefits, maintains job security, improves representation language and guarantees raises plus a bonus. Read more about our victory here.



"Thanks to the hard work of our bargaining team and to everyone who voted to approve our contract. Now, we've locked in wages and benefits for 3 years!"

-Rodesha Jefferson, Sutter Delta

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