I. PURPOSE

The following Regulation outlines the procedures related to certain disputes, as defined below.

II. DEFINITIONS

**Academic Personnel/Employee:** For purposes of this Regulation, Academic Personnel includes non-tenure track academic personnel, academic personnel on a fixed term contract, tenure track faculty, extended term academic professionals, and tenured faculty as defined in UW Regulation 5-1.

**Administrator:** shall mean Academic Administrators as defined in UW Regulation 5-804, “Appointment, Evaluation and Removal of Academic Administrators.”

**Dispute:** A claim in which an Academic Employee believes that existing regulations, policies, and/or procedures have been violated, misapplied, or misinterpreted and the alleged violation, misapplication, or misinterpretation has adversely affected the Faculty Member’s professional or academic capacity. The purpose of the process outlined below is to determine whether appropriate procedures were followed, not to reevaluate the merits of any decisions that were made. Disputes addressed by this Regulation do not include:

A. Annual Performance Reviews. For these types of claims, the Academic Employee may submit a written statement to the applicable dean or director. The statement will be added to the Academic Employee’s personnel file.


C. Claims related to Settlement Amounts, Attorney Fees or Any Other Types of Fees, Costs, or Assessments.
D. Compensation. Compensation and benefits are governed by UW Regulation 5-173, “Regulations Governing Vacation, Sick Leave, and Compensation for Faculty and University Officers” and the Employee Handbook.

E. Discrimination and Harassment. For claims related to discrimination see UW Regulation 1-5, “Civil Rights Discrimination.” For claims related to Harassment, Hostile Environment, and Retaliation (non-Protected Class), see Presidential Directive 4-2016-1, “Investigative Process for Complaints of Harassment, Hostile Environment, and Retaliation (non-Protected Class).”

F. Dismissal. For claims related to dismissal see UW Regulation 5-801, “Dismissal of Academic Personnel.”

G. Post-Tenure Review. For claims related to post-tenure review see UW Regulation 5-808, “Post-Tenure Review Policy.”

H. Reappointment, Evaluation, Promotion, and Granting of Tenure. For claims related to reappointment, evaluation, promotion and the granting of tenure see UW Regulation 5-803, “Tenure and Promotion Procedures for University Faculty.”

I. Sexual Misconduct. For claims related to sexual misconduct see UW Regulation 1-256, “Policies and Procedures Governing Sexual Misconduct.”

J. Violence in the Workplace. For claims related to violence in the workplace see UW Regulation 1-44, “Violence in the Workplace.”

Faculty Conciliator: An individual appointed by the President from a list of three or more persons nominated by the Faculty Senate, who serves at the pleasure of the President. The President, in consultation with the Executive Committee of the Faculty Senate shall establish the term and duties of the Faculty Conciliators or substitute Faculty Conciliators if required under section 8.B, and shall periodically review the functions of the office. The Office of Academic Affairs shall provide necessary financial support for the Faculty Conciliator.

Faculty Dispute Resolution Panel: The Faculty Dispute Resolution Panel shall consist of eighteen (18) members elected for three-year staggered terms by ballot of the Faculty, from nominations made by the Faculty Senate. Faculty Dispute Resolution Panel eligibility shall be limited to tenured faculty and academic personnel on a fixed or extended term who hold no administrative assignment, with no more than six (6) members to be elected from the same college of the University. A pool of alternates for the Faculty Dispute Resolution Panel shall be established, comprised of nominees who are not elected; if a member of the
Faculty Dispute Resolution Panel is removed or leaves the Panel, the alternate with the greatest number of votes will automatically fill the term of the departing member.

**Hearing Committee:** The three-member committee selected in the manner set forth herein to resolve a dispute under Step Three of this Regulation.

**Hearing Officer:** One or more individuals nominated by the President who, after consultation with the Executive Committee of the Faculty Senate, shall make final appointments. Hearing Officers shall assist in the resolution of Disputes pursuant to this Regulation.

**Parties:** The parties to a hearing as described in Section (IX)(C) shall be the complaining Academic Employee (hereinafter “Complainant”), any other persons whose action or inaction caused or contributed to the incident or conditions which gave rise to the Dispute (hereinafter “Respondent”), and any Administrator whose participation may be required in implementing a resolution of the Dispute.

**Time Limits:** In calculating periods of time, Saturdays, Sunday, University holidays and legal holidays shall be excluded.

### III. POLICY

The University recognizes the right of Academic Personnel to express differences of opinion and to seek fair and timely resolutions of disputes. It is the policy of the University that disputes shall be settled informally if possible and that all persons have the obligation to participate in good faith in the informal dispute resolution process before resorting to formal grievance procedures. The University encourages open communication and resolution of disputes through the informal processes described in this University Regulation. The University will not tolerate reprisals, harassment or discrimination against any person because of participation in this process. This regulation establishes an internal process to provide University Academic Personnel a prompt and efficient review and resolution of disputes. This regulation is the sole method for resolution of disputes as defined herein or appeals from terminations resulting from financial exigency.

### IV. ADMINISTRATIVE RESPONSIBILITY

All University Administrators shall inform, listen to, and counsel with academic personnel concerning disputes arising in areas over which the Administrators have supervisory or other responsibilities, and shall to the best of their ability contribute to timely resolution of any dispute taken to them.
V. STEP ONE – INFORMAL RESOLUTION

I. III. DEFINITIONS

A. Dispute

A claim which occurs when any academic personnel considers that any condition of employment, including actions or inactions by others, is unjust, inequitable, contrary to the policy of the University regulations or policies, or a hindrance to effective faculty performance.

1. Exclusions

Civil rights complaints properly addressed under the process provided in UW Regulations; complaints against the President which are to be directed to the attention of the President of the Board of Trustees; and matters subject to review pursuant to procedures contained in UW Regulation 2-6, “Procedures for Dismissal of Faculty Members.”

2. Limitations on Scope

With respect to matters involving reappointment, evaluation, promotion and the granting of tenure, disputes shall be restricted to a claimed failure to follow those procedures contained in UW Regulation 2-7, “Reappointment Tenure and Promotion Procedures for University Faculty.”

a. settled informally if possible and that Academic Personnel: A person appointed to and serving in a faculty position as defined in UW Regulation 1-1 III.A.

b. Parties: The parties to a formal grievance proceeding as described in section VIII.C. shall be the complaining faculty member, any other persons whose action or inaction caused or contributed to the incident or conditions which gave rise to the dispute, and any administrator whose participation may be required in implementing a resolution of the dispute.

II. IV. FACULTY CONCILIATOR

A. A Faculty Conciliator shall be appointed by the President from a list of three or more persons nominated by the Faculty Senate, and shall serve at the pleasure of the President. The President, in consultation with the Executive Committee of the Faculty Senate, shall establish the term and duties of the Faculty Conciliator or
substitute Faculty Conciliator if required under section VIII.B., must participate in good faith in and shall periodically review the functions of the office. The President shall provide necessary financial support for the Faculty Conciliator. The Faculty Conciliator shall administer the informal dispute resolution process set forth in this regulation, and shall be available to all parties to facilitate the informal resolution of disputes before continuing onto the steps outlined below.

III. V. HEARING OFFICER

One or more Hearing Officers shall be nominated by the President who shall make final appointments after consultation with the Executive Committee of the Faculty Senate. Hearing Officers shall assist in the resolution of disputes pursuant to this regulation. The role of the Hearing Officer shall be specified in the guidelines for conduct of hearings. The Hearing Officers shall not decide disputes.

IV. VI. FACULTY DISPUTE RESOLUTION PANEL

A Faculty Dispute Resolution Panel shall be established as follows. The Faculty Dispute Resolution Panel shall consist of eighteen (18) members elected for three-year staggered terms by ballot of the Faculty, from nominations made by the Faculty Senate. Faculty Dispute Resolution Panel eligibility shall be limited to tenured faculty, extended-term academic professionals, extended-term librarians, and extended-term archivists who hold no administrative assignment, with no more than six (6) members to be elected from the same college of the University. A pool of alternates for the Faculty Dispute Resolution Panel shall be established, comprised of nominees who are not elected; if needed, alternates shall be selected from the pool, with recipients of the greatest number of votes being selected first.

V. VII. TIME LIMITS

The Faculty Conciliator or the Hearing Officer in the interest of arriving at a just resolution may extend the time limits prescribed by this regulation. All parties shall be immediately notified of any change in time limits. In calculating periods of time of less than eleven (11) days, Saturdays, Sunday, University holidays and legal holidays shall be excluded.

VI. VIII. PROCEDURE

A. Step One -- Informal Resolution

Academic Personnel Dispute Resolution
B. Faculty members should normally attempt to resolve any dispute informally and promptly, and in good faith through appropriate discussion with the persons whose actions have given rise to the dispute.

B.C. If these discussions are not successful, the Academic Employee must then attempt to resolve the dispute through informal consultation with an appropriate administrator.

VI. Step Two – Consultation with the Faculty Conciliator

A. An Academic Employee must demonstrate to the Faculty Conciliator that he/she has attempted to resolve the Dispute informally under Step One.

B. Any faculty member with an unresolved dispute must consult with the Faculty Conciliator before proceeding to Step Three or Four.

C. For a Dispute to be considered, the Academic Employee must submit to the Faculty Conciliator a written statement which must contain the following:
   1. A brief narrative of the grievance procedure as described below at paragraph VIII.C.;
   2. A statement detailing the nature of the Dispute;
   3. A designation of the Parties involved; and
   4. A statement of the remedy and/or resolution requested.

B.D. The Faculty Conciliator shall be available to assist all Parties in good faith attempts to resolve a dispute informally, prior to submission for formal resolution pursuant to paragraph VIII.C. to the Hearing Committee. The Faculty Conciliator may require any person, including administrators at any level, to participate in any meeting called by the Faculty Conciliator for the purpose of effecting informal resolution of a dispute.

In the event that the President is named as a party in a compelling faculty member’s dispute, or in circumstances in which the President may be involved in a dispute as a witness, the responsibilities assigned to the President in this section...
shall be assumed by the President of the Board of Trustees, who shall be recused from participation in any Trustee review of the matter.

In the event that the Faculty Conciliator is named as a party in a complaining faculty member’s dispute Academic Employee’s Dispute, or in circumstances in which the Faculty Conciliator may be involved in a dispute as a witness, the President may, upon request of the complaining faculty member Academic Employee and in consultation with the Executive Committee of the Faculty Senate, appoint a substitute Faculty Conciliator for purposes of that dispute. If for any reason the President cannot act under this Regulation, the President shall appoint a neutral third-party, not in the same college as any Party, to act in the President’s stead.

No reference shall be made in a formal grievance proceeding to whether or not the parties engaged in an unsuccessful informal resolution proceeding involving the same dispute. No statements made by the parties in the course of an unsuccessful informal resolution proceeding shall be admissible in a formal grievance proceeding involving the same dispute.

C.E. Consideration in an informal resolution proceeding of statements Steps Three and Four. Statements, documents and other evidence which were made or existed prior to the informal proceeding shall not preclude admission of those statements, documents and other evidence in a formal grievance proceeding Steps Three and Four.

D.F. Participation of the Faculty Conciliator in informal resolution efforts shall be for the purpose of effecting informal resolution of disputes, and the Faculty Conciliator shall not testify in any formal grievance proceeding relating to a dispute in which the Faculty Conciliator has attempted to effect an informal resolution.

E.G. If the dispute is not resolved within twenty (20) days after initiation of consultation with the Faculty Conciliator, the Faculty Conciliator shall notify the parties in writing that the period for informal resolution is terminated. Within five days after receipt of the notice, any party may commence a formal dispute by submitting to the Faculty Conciliator a written statement which must contain:

1. A brief narrative of the facts giving rise to the dispute;
2. A designation of the parties involved; and

3. A statement of the remedy requested.

If no party commences a formal dispute within the time provided, the Faculty Conciliator shall dismiss the dispute.

H. Not less than five (5) days after receipt of the termination notice, any party may commence to Step Three by submitting to the Faculty Conciliator a written statement from a party commencing a formal dispute which must conform to the statement described in Section (V)(B)(3) herein, as well as a written request to begin the Step Three process.

E.I. Within five (5) days after receipt of the written statement, the Faculty Conciliator shall transfer the matter to a Hearing Officer, who shall be selected as set forth below. If neither party submits a written statement within the discretion of time provided, the Faculty Conciliator shall dismiss the list of Hearing Officers appointed by Dispute, and report the President dismissal to both Parties.

B. Step Three -- Formal Resolution

VII. STEP THREE – SUBMISSION TO THE HEARING COMMITTEE

The Hearing Committee shall hear the Dispute in accordance with the Hearing Procedures outlined below.

A. Convening of Committee

1. The Hearing Officer shall select a Hearing Committee (hereinafter “HC”) of three (3) members by lot from the full Faculty Dispute Resolution Panel. The Committee shall be comprised of no more than two (2) members from the same college or unit under the supervision of the Provost and Vice President of Academic Affairs.

2. The Hearing Officer shall select the Hearing Committee HC within ten (10) days of receipt of the formal dispute written statement by the Hearing Officer. In the event of challenges to one (1) or more members of the HC, this meeting shall be held within twenty (20) days of the receipt of the written statement.
3. The Hearing Officer shall convene the Hearing Committee [HC] no later than fifteen (15) days after receipt of the formal dispute written statement by the Hearing Officer. The Hearing Committee [HC] shall select a hearing chairperson and shall schedule a hearing to take place not later than twenty days after the Hearing Committee is at its first convened. The Hearing Committee shall hear the dispute in accordance with the attached “Hearing Guidelines”, shall compile a hearing record and shall prepare written findings and recommendations within fifteen days after completion of the hearing.

B. Challenges

The Complainant or any Respondent shall have the right to challenge any member of the HC for cause. In the case of disqualification, absence, or other inability to serve, replacement HC members shall be selected by lot; first from the remaining Faculty Dispute Resolution Panel members, then, if necessary, from the pool of alternates.

C. Jurisdiction

The HC shall decide whether to accept jurisdiction within fifteen (15) days after being convened by the Hearing Officer and shall consider whether the Dispute is frivolous, repetitive, involves harmless error, or is otherwise a Dispute beyond the authority of the HC to consider under this Regulation. If the HC concludes that it does not have jurisdiction over the dispute, it shall notify all Parties, in writing, of the reasons for that conclusion, and immediately dismiss the matter.

If accepting jurisdiction of the dispute, the HC shall meet to conduct a hearing within twenty (20) days after being convened by the Hearing Officer.

D. Proceedings

The following guidelines apply throughout the hearing:

1. All documents shall be provided to the opposite side through the Hearing Officer at least ten (10) days prior to the hearing. In the discretion of the HC, documents not so disclosed may be received in evidence for good cause shown and in the interest of justice.

2. The hearing shall be held in confidence unless the Complainant requests, in writing, a public hearing. In that event, the HC may, at its discretion, allow a public hearing.
3. The Parties have the option of being represented by counsel, or by any other individual. If a Party chooses to be represented by counsel, he/she is responsible for all costs of that counsel. University Officers or other designated representatives of the University may be represented by the Office of General Counsel.

4. The HC shall determine the order of proof, is entitled to conduct the questioning of witnesses, and shall determine the relevance and admissibility of evidence and testimony.

5. The HC shall attempt to resolve factual disputes by receiving witness testimony and other relevant evidence offered by the Parties.

6. Parties or their representatives, if any, have the right to question all witnesses testifying in connection with the hearing in person. At the sole discretion of the HC, testimony may take place via electronic media or be taken by deposition upon good cause shown.

7. The HC may direct the Parties to produce evidence on specific issues and may call witnesses and introduce evidence on its own motion.

8. All evidence and testimony considered by the HC shall be part of the hearing record. All HC decisions shall be based solely on the hearing record. The burden of proof that an existing regulation, policy, and/or procedure was violated, misapplied, or misinterpreted and the alleged violation, misapplication, or misinterpretation adversely affected the Complainant’s professional or academic capacity rests at all times with the Complainant and shall be satisfied only by substantial evidence in the record considered as a whole.

9. All evidence and testimony relevant to the dispute is admissible. The Parties may object to evidence on grounds of relevance and surprise only. All decisions regarding the admissibility of evidence and testimony shall be made by the HC in its sole discretion. If the HC declines to hear some evidence or testimony, it will be accepted for purposes of the file to preserve Complainant’s appeal, but specifically excluded from the record used by the HC for its decision.

10. The HC may set reasonable time limits upon the Parties and the hearing for the presentation of the Parties’ evidence and testimony in its sole discretion.
11. After Hearing Committee's recommendations may include a proposed remedy. The Hearing Committee shall forward a copy of its written findings and recommendations to the parties, to the consultation with the Parties and the Hearing Officer, the HC may grant reasonable continuances of the deadlines herein in its sole discretion, especially when required in the interests of justice to consider newly presented evidence for which a Party could not reasonably have been prepared.

12. The HC shall not be bound by formal rules of procedure or evidence otherwise applicable in civil litigation. Notwithstanding any language in this Regulation to the contrary, legally recognized privilege and confidentiality protections shall apply to the proposed use of any evidence and testimony.

1.13. The Provost and Vice President for Academic Affairs, to any affected Dean, and to the President within three days after those findings and recommendations have been completed, (or designee) shall secure the cooperation of witnesses if the witness is a University employee and insofar as feasible. However, it is the responsibility of each Party to call, notify, and arrange for their own witnesses’ testimony.

At any time after commencement of a formal dispute, the Hearing Officer may suspend or terminate the formal proceedings to facilitate further efforts by the parties to resolve the dispute informally, if so requested by the parties and the Faculty Conciliator. The Faculty Conciliator may then assist the parties in further efforts to resolve the dispute informally. The Hearing Officer also may, but is not required to, terminate the formal dispute resolution proceedings at any time after they are commenced if so requested by the faculty member who initiated the formal grievance proceedings.

C. Parties’ Responses to Hearing Committee Findings

14. Every administrative office of the University shall make available to the Complainant and the Respondent any relevant requested documents over which the University has control, and which are not privileged from disclosure by law.

15. A written verbatim record of the hearing shall be produced, the expense of which shall be borne by the University.

E. Order of Proceedings

The order of proceedings shall, to the extent practicable, conform to the following pattern:
1. The Parties shall have the opportunity to present summary opening statements. The Complainant shall present evidence and testimony supporting the written Dispute.

2. The Respondent shall present evidence and testimony in opposition to the written Dispute.

3. The HC shall permit the Parties such rebuttal evidence as is not cumulative, repetitious, or irrelevant.

4. The Parties shall have the opportunity to present closing arguments.

5. The HC may vary the order of proceedings in its sole discretion if circumstances warrant.

F. Recommendation

Within eighteen (18) days of the close of hearing, the HC shall notify the Parties, the Provost and Vice President for Academic Affairs, and any affected Dean, in writing, of its recommendations, findings and rationale in support of its decision. These recommendations must directly relate to the Dispute. The official record upon which the decision was based shall be made available to the Parties upon their request.

VIII. STEP FOUR – WRITTEN STATEMENT TO THE PRESIDENT

A. Within ten (10) days after receipt of the Hearing Committee's written findings and recommendations, any Party may submit a written statement of position to the President, stating the Party's position with respect to the Hearing Committee's decision and any grounds upon which the Party believes the President should accept, reject or suggest modification of the Hearing Committee's findings and recommendations.

D. Presidential Action

B. The decision of the President shall be final and binding upon the Parties.

IX. ROLE OF THE HEARING OFFICER.

All Disputes shall be submitted in writing to the Hearing Officer as outlined above, who shall transmit a copy to the Parties named in the statement initiating the dispute.
proceedings. The Hearing Officer shall be responsible for coordinating all prehearing matters such as production of documents and requests for information. The Hearing Officer shall schedule all hearings and logistical arrangements for the location of meetings and hearings, and inform the Parties and the HC of all proceedings and issues relevant to the efficient administration of the Dispute.

The Hearing Officer shall preside over hearings, but shall not vote on the disposition of the case. The Hearing Officer shall consult with and advise the members of the HC on all matters of hearing procedure, including the admissibility of evidence, the general conduct of the hearing, the order or presentation of evidence, examination and cross-examination of witnesses, oral arguments, and post-hearing briefs, if any. The Hearing Officer shall also arrange for a record of the hearing, including findings and any recommendations made by the Committee and a summary of evidence on which such findings are based. Ex parte evidentiary hearings and ex parte communications with HC members will not be permitted.

The Hearing Officer may confer with the HC during its private deliberations and provide it with assistance in drafting its decision.

At any time during or after the hearing, the Hearing Officer may suspend or terminate the hearing to facilitate further efforts by the Parties to resolve the dispute informally, if so requested by the Parties and the Faculty Conciliator. The Hearing Officer may, but is not required to, terminate the hearing if so requested by the Complainant. Any such dismissal shall be deemed and proceed in the same manner as a complete and final decision regarding the Dispute.

It is the responsibility of the Hearing Officer to ensure that all Time Limits are enforced and that all procedures set forth in this Regulation are followed.

After receiving the Hearing Committee's written findings and recommendations and any statements of the parties submitted pursuant to paragraph VIII.D, the President shall act upon the dispute in one of the following ways:

1. The President may accept the Hearing Committee's findings and recommendations and remedy (if the Hearing Committee proposed one). If the Hearing Committee did not propose a remedy consistent with its findings, the President shall devise a remedy consistent with the Hearing Committee's findings and recommendations. If proceeding under this paragraph VIII.E.1., the President shall, within thirty days after the President's receipt of the Hearing Committee's findings and recommendations, provide a written statement to all parties involved, to the Vice President for Academic Affairs, to the Hearing Committee, and to any affected Dean, notifying them of the President's
acceptance of the Hearing Committee's findings and recommendations and the remedy to be implemented.

2. If the President concludes that a policy question is involved or additional consideration of the facts is warranted, the President may, within thirty days after the President's receipt of the Hearing Committee's findings and recommendations, remand the case to the Hearing Committee with a statement of the reasons for the remand. The President shall also provide a copy of the statement accompanying the remand of the case to all parties involved and they shall have five (5) days to comment in writing to the Hearing Committee. Any party to a dispute may attend any meeting of the President or President's representative with the Hearing Committee at which that dispute is discussed. The Hearing Committee shall report its reconsideration to the President within fifteen days of the remand; the President shall then act upon the Hearing Committee's reconsidered findings and recommendations pursuant to this section VIII.E.

3. The President may disagree with the Hearing Committee's recommendation in whole or in part; if so, the President shall state recommendations and reasons therefore in writing to the Hearing Committee, to the Vice President for Academic Affairs, to all parties and to the deans of the affected units. The President shall provide this written statement to the recipients designated above within thirty days after the President's receipt of the Hearing Committee's findings and recommendations, and all recipients of the President's statement may submit a written response to it to the President within fifteen days after their receipt of the President's statement. Within twenty days after sending the statement of recommendations, and reasons to the Hearing Committee and to the parties, the President shall present the President's recommendations and reasons (and any responses thereto as received by the President) to the Board of Trustees for final action. The Board of Trustees may elect to have access to either the record of the proceedings or a summary of the record prepared by the Hearing Officer. Within sixty days after its receipt of the President's statement of recommendations and reasons (and any responses thereto), the Board of Trustees shall render and announce to the parties and to the President a decision on the dispute. The Board of Trustees may accept or reject the President's recommendations in whole or in part, or may remand the matter to the President for further proceedings.

Responsible Division/Unit: Office of the Provost and Vice President for Academic Affairs
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