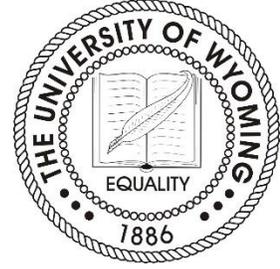


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Additional changes proposed after grading dispute



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## UNIVERSITY OF WYOMING REGULATIONS

**Subject:** Academic Personnel Dispute Resolution

**Number:** UW Regulation 2-2

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### 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 faculty as defined in UW Regulation 2-1.

**Administrator:** shall mean Academic Administrators as defined in UW Regulation 2-8, "Appointment, Evaluation and Removal of Academic Administrators."

**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 University regulations or policies, or a hindrance to effective faculty performance. Disputes addressed by this Regulation do not include the merits of decisions related to:

- 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.
- B. Appointment, Evaluation, and Removal of Academic Administrators. For claims related to appointment, evaluation and removal of Academic Administrators see UW Regulation 2-8, "Appointment, Evaluation and Removal of Academic Administrators."
- 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 2-3, "Regulations Governing Vacation, Sick Leave, and Compensation for Faculty and University Officers" and the Employee Handbook.

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- 32                   E. Discrimination and Harassment. For claims related to discrimination see UW  
33                   Regulation 4-2, “Discrimination and Harassment.”
- 34                   F. Dismissal. For claims related to dismissal see UW Regulation 2-6, “Dismissal  
35                   of Academic Personnel.”
- 36                   G. Post-Tenure Review. For claims related to post-tenure review see UW  
37                   Regulation 2-10, “Post-Tenure Review Policy.”
- 38                   H. Reappointment, Evaluation, Promotion, and Granting of Tenure. For claims  
39                   related to reappointment, evaluation, promotion and the granting of tenure see  
40                   UW Regulation 2-7, “Tenure and Promotion Procedures for University  
41                   Faculty.”
- 42                   I. Sexual Misconduct. For claims related to sexual misconduct see UW  
43                   Regulation 4-3, “Title IX and Sexual Misconduct.”
- 44                   J. Violence in the Workplace. For claims related to violence in the workplace see  
45                   UW Regulation 4-4, “Violence in the Workplace.”

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

53

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

63

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

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

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

75           **Time Limits:** The Faculty Conciliator or the Hearing Officer, in the interest of arriving at  
76           a just resolution, may extend the time limits prescribed by this regulation until the final  
77           Hearing Committee convenes. All parties shall be immediately notified of any change in  
78           time limits. In calculating periods of time, Saturdays, Sunday, University holidays and  
79           legal holidays shall be excluded.

80

### 81   **III.   POLICY**

82

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

94

### 95   **IV.   ADMINISTRATIVE RESPONSIBILITY**

96

97           All University Administrators shall inform, listen to, and counsel with Academic Personnel  
98           concerning disputes arising in areas over which the Administrators have supervisory or  
99           other responsibilities, and shall to the best of their ability contribute to timely resolution of  
100          any dispute taken to them.

101

### 102   **V.   STEP ONE – INFORMAL RESOLUTION**

103           A.     It is the policy of the University that Disputes shall be settled informally, if possible,  
104                     and that Academic Personnel must participate in good faith in informally resolving  
105                     the dispute before continuing onto the steps outlined below.

106 **VI.    STEP TWO – CONSULTATION WITH THE FACULTY CONCILIATOR**

107  
108           A.     Academic Personnel must demonstrate to the Faculty Conciliator that he/she has  
109                     participated in a reasonable attempt to resolve the Dispute informally, including  
110                     participating in appropriate discussion with the persons whose actions have given  
111                     rise to the Dispute and a discussion with the appropriate supervisor under Step One  
112                     or provide an appropriate reason for not doing so.

113           B.     Academic Personnel must consult with the Faculty Conciliator before proceeding  
114                     to Steps Three or Four.

115           C.     The Faculty Conciliator shall be available to assist all Parties in good faith attempts  
116                     to resolve a Dispute informally, prior to submission to the Hearing Committee. The  
117                     Faculty Conciliator may require any person, including Administrators at any level,  
118                     to participate in any meeting called by the Faculty Conciliator for the purpose of  
119                     effecting informal resolution of a Dispute.

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

128           D.     No statements made by the Parties in the course of the conciliation and no  
129                     documents specially prepared by the Parties for use in the conciliation shall be  
130                     admissible in Steps Three and Four. Statements, documents and other evidence  
131                     which were made or existed prior to the conciliation shall not preclude admission  
132                     of those statements, documents and other evidence in Steps Three and Four.

133           E.     Participation of the Faculty Conciliator in informal resolution efforts shall be for  
134                     the purpose of effecting informal resolution of Disputes, and the Faculty  
135                     Conciliator may not testify in Step Three.

- 136           **F.**     If the Dispute is not resolved within twenty (20) days after initiation of consultation  
137                     with the Faculty Conciliator, the Faculty Conciliator shall notify the Parties in  
138                     writing that the period for informal resolution is terminated.
- 139           **G.**     Within five (5) days after receipt of the termination notice, any party may  
140                     commence to Step Three by submitting to the Faculty Conciliator, a written request  
141                     to begin the Step Three process, as well as a written statement which must contain  
142                     the following:
- 143                     **1.**    A brief statement detailing the nature and facts giving rise to the Dispute;
- 144                     **2.**    A designation of the Parties involved; and
- 145                     **3.**    A statement of the remedy and/or resolution requested.
- 146           **H.**     Within five (5) days after receipt of the written statement, the Faculty Conciliator  
147                     shall transfer the matter to a Hearing Officer selected as set forth below. If neither  
148                     party submits a written statement within the time provided, the Faculty Conciliator  
149                     shall dismiss the Dispute, and report the dismissal to both Parties.

150   **VII.   STEP THREE – SUBMISSION TO THE HEARING COMMITTEE**

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

153           **A.     Committee Selection**

- 154                     **1.**    The Hearing Officer shall select a Hearing Committee (hereinafter “HC”) of  
155                     three (3) members by lot from the full Faculty Dispute Resolution Panel. The  
156                     Committee shall be comprised of no more than two (2) members from the same  
157                     college or unit under the supervision of the Provost and Vice President of  
158                     Academic Affairs.
- 159                     **2.**    The Hearing Officer shall select the HC within ten (10) days of receipt of the  
160                     written statement by the Hearing Officer.
- 161                     **3.**    The Hearing Officer shall convene the HC no later than fifteen (15) days after  
162                     providing notification of the composition of the Hearing Committee. In the  
163                     event of challenges to one (1) or more members of the HC, this meeting shall  
164                     be held within twenty (20) days of providing the notification of the composition

170 of the Hearing Committee. The HC shall select a hearing chairperson at its first  
171 meeting.

172  
173 **B. Challenges**  
174

175 The Complainant or any Respondent shall have the right to challenge any member  
176 of the HC for cause. Either party is limited to two challenges and shall submit the  
177 basis for the challenge in writing to the Hearing Officer within three days of the  
178 notification of the composition of the Hearing Committee. The Hearing Officer  
179 then has three days to decide whether to grant the challenge. In the case of  
180 disqualification, absence, or other inability to serve, replacement HC members shall  
181 be selected by lot; first from the remaining Faculty Dispute Resolution Panel  
182 members, then, if necessary, from the pool of alternates.

183  
184 **C. Jurisdiction**  
185

186 The HC shall decide whether to accept jurisdiction or whether the Dispute is  
187 frivolous, repetitive, involves harmless error, or is otherwise a Dispute beyond the  
188 authority of the HC to consider under this Regulation within fifteen (15) days after  
189 being convened by the Hearing Officer. If the HC concludes that it cannot consider  
190 the Dispute, it shall notify all Parties, in writing, of the reasons for that conclusion,  
191 and immediately dismiss the matter. If either Party disagrees with the dismissal,  
192 they may submit a written statement to the President pursuant to Section VIII.

193  
194 If accepting jurisdiction of the dispute, the HC shall meet to conduct a hearing  
195 within fifteen (15) days after issuing a jurisdictional decision.

196  
197 **D. Proceedings**

198 The following guidelines apply throughout the hearing:

- 199  
200 1. All documents shall be provided to the opposite side through the Hearing  
201 Officer at least ten (10) days prior to the hearing. In the discretion of the HC,  
202 documents not so disclosed may be received in evidence for good cause shown  
203 and in the interest of justice.  
204  
205 2. The hearing shall be held in confidence unless the Complainant requests, in  
206 writing, a public hearing. In that event, the HC may, at its discretion, allow a  
207 public hearing.  
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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.

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11. After 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.
  13. The Provost and Vice President for Academic Affairs (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.
  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.

271 **E. Order of Proceedings**

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273 The order of proceedings shall, to the extent practicable, conform to the following  
274 pattern:

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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.

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

290  
291 **F. Recommendation**

292  
293 Within twenty (20) days of the ~~close of hearing~~receipt of the transcript of the  
294 hearing, the HC shall notify the Parties, the Provost and Vice President for  
295 Academic Affairs, and any affected Dean, in writing, of its recommendations,  
296 findings of fact (including the resolution of any relevant factual disputes), and  
297 rationale in support of its decision. These recommendations must directly relate to  
298 the Dispute. The official record upon which the decision was based shall be made  
299 available to the Parties upon their request.

300  
301 **VIII. STEP FOUR – WRITTEN STATEMENT TO THE PRESIDENT**

302  
303 A. Within ten (10) days after receipt of the Hearing Committee's written findings and  
304 recommendations, any Party may submit a written statement of position to the  
305 President, stating the Party's position with respect to the Hearing Committee's  
306 decision and any grounds upon which the Party believes the President should  
307 accept, reject or suggest modification of the Hearing Committee's findings and  
308 recommendations.

309 B. The President, within 30 days, shall ~~may~~

310 a. render a decision based upon the record presented;

311 b. remand the matter back to the HC with a specific request for clarification of  
312 the HC's written findings or recommendations; or

313 ~~a.c. may~~ request that the HC reconvene and hear additional testimony on  
314 questions of fact that the President requests additional evidence about.

315 B.C. The President shall ~~provide-render~~ a decision ~~within twenty (20) days of receiving~~  
316 ~~the written statement to review or the Hearing Committee's written findings and~~  
317 ~~recommendations if no statement is provided~~in writing 30 days after determining  
318 that the record is complete and sufficient to support a decision. The President's  
319 decision shall be immediately forwarded to the parties and the HC.

320  
321 C.D. The decision of the President shall be final and binding upon the Parties.  
322

323 **IX. ROLE OF THE HEARING OFFICER.**  
324

325 All Disputes shall be submitted in writing to the Hearing Officer as outlined above, who  
326 shall transmit a copy to the Parties named in the statement initiating the dispute  
327 proceedings. The Hearing Officer shall be responsible for coordinating all prehearing  
328 matters such as production of documents and requests for information. The Hearing  
329 Officer shall schedule all hearings and logistical arrangements for the location of meetings  
330 and hearings, and inform the Parties and the HC of all proceedings and issues relevant to  
331 the efficient administration of the Dispute.  
332

333 The Hearing Officer shall preside over hearings, but shall not vote on the disposition of the  
334 case. The Hearing Officer shall consult with and advise the members of the HC on all  
335 matters of hearing procedure, including the admissibility of evidence, the general conduct  
336 of the hearing, the order or presentation of evidence, examination and cross-examination  
337 of witnesses, oral arguments, and post-hearing briefs, if any. The Hearing Officer shall  
338 also arrange for a record of the hearing, including findings and any recommendations made  
339 by the Committee and a summary of evidence on which such findings are based. Ex parte  
340 evidentiary hearings and ex parte communications with HC members will not be permitted.  
341

342 The Hearing Officer may confer with the HC during its private deliberations and provide  
343 it with assistance in drafting its decision.  
344

345 At any time during or after the hearing, the Hearing Officer may suspend or terminate the  
346 hearing to facilitate further efforts by the Parties to resolve the dispute informally, if so  
347 requested by the Parties and the Faculty Conciliator. The Hearing Officer also may, but is  
348 not required to, terminate the hearing if so requested by the Complainant. Any such  
349 dismissal shall be deemed and proceed in the same manner as a complete and final decision  
350 regarding the Dispute.  
351

352 It is the responsibility of the Hearing Officer to ensure that all Time Limits are enforced  
353 and that all procedures set forth in this Regulation are followed.  
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357 **Responsible Division/Unit:** Office of the Provost and Vice President for Academic Affairs  
358

359 **Source:** None  
360

361 **Links:** <http://www.uwyo.edu/regs-policies>  
362

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363 **Associated Regulations, Policies, and Forms:** None

364

365 **History:**

366 University Regulation 35, Revision 1; adopted 7/17/2008 Board of Trustees meeting

367 Revisions adopted 11/15/2013 Board of Trustees meeting

368 Revisions adopted 7/13/2016 Board of Trustees meeting

369 Reformatted 7/1/2018: previously UW Regulation 5-35, now UW Regulation 2-2

370