

SUMMARY: This chapter establishes rules of practice and procedure in proceedings before the State Civil Service Appeals Board.

1. Applicability

These rules govern all practice and procedure in proceedings before the State Civil Service Appeals Board (“CSAB”) under applicable laws of the State of Maine, unless otherwise directed by the CSAB. Procedures not specifically addressed by these rules shall be governed by the Maine Administrative Procedure Act, 5 M.R.S. §§ 80001 *et seq.*, and 5 M.R.S. §§ 7081-7085.

2. Conflict with Statute or Constitution

These rules shall be construed, wherever possible, consistently with applicable statutory and constitutional authority. Where a conflict exists, statutory or constitutional authority shall prevail over these rules.

3. Meetings, Public Proceedings and Deliberations

Except for matters which may be the subject of executive session as provided in 1 M.R.S. § 405, all meetings, public proceedings and deliberative sessions of the CSAB shall be open to the public. Public notice shall be provided as required by 1 M.R.S. § 406.

4. CSAB Organization and Quorum

- A. In accordance with 5 M.R.S. § 7081, the chair of the CSAB is appointed by the Governor. The chair shall serve as the presiding officer with the powers set forth in 5 M.R.S. § 9062. The CSAB may, in its discretion, elect a vice-chair, who may temporarily assume the responsibilities of the chair during such time as the chair is not able to act, for reasons of illness, disqualification, or other circumstance making it impracticable for the chair to act. In such event, the vice-chair of the CSAB shall serve as presiding officer. In the event the vice-chair is disqualified or it becomes impracticable for the vice-chair to serve as presiding officer, the CSAB may appoint a substitute presiding officer.
- B. The CSAB may, in its sole discretion, hold hearings and make decisions with only a majority of the CSAB members participating, in the event the entire CSAB is unavailable.

5. CSAB Record of Proceedings

A. Decisions

Every decision of the CSAB shall be in writing. The CSAB's written decision shall be issued within 30 working days after the hearing on the dispute is concluded, unless the parties agree that an extension of the time limit should be allowed. A copy of each decision shall be maintained by the CSAB.

B. Deliberative Sessions

Staff assigned to the CSAB shall ensure that a record is kept of the date, time, and place of each deliberative session, the CSAB members in attendance, and all votes. This may be done through the maintenance of an audio, video, or other electronic recording.

6. Practice before the CSAB

A. Attorneys

Any attorney duly admitted to practice as an attorney in the State of Maine, any attorney admitted to practice in another state who has entered a limited appearance as authorized by the CSAB, any party acting *pro se*, and any authorized officer, employee or representative of a party in any hearing, action or proceeding is authorized to appear on behalf of parties before the CSAB. In order to facilitate the efficient processing of any proceeding, the chair of the CSAB may require the appearance of counsel on behalf of any party.

B. Non-Attorneys

All authorized officers, employees or other representatives of parties who are not duly admitted to practice as attorneys in the State of Maine are expected, as a condition of representation, to be familiar with applicable statutes and rules, and to abide by the Maine Rules of Professional Conduct for attorneys 3.1, 3.2, 3.3, 3.4, 3.5, and 3.7. Failure of a non-attorney representative to abide by these rules may result in appropriate sanctions, including temporary or permanent bar from appearing in a representative capacity before the CSAB.

C. Entry of Appearance

Any attorney or authorized officer, employee or representative of a party who is authorized to represent a party pursuant to Section 6(A), 6(B) or 6(D) in any hearing, action, or proceeding must enter a notice of appearance with the clerk of the CSAB prior to participating in any hearing, action, or proceeding before the CSAB.

D. Representation before the CSAB.

1. . Any partnership may be represented by any of its members or a duly authorized representative.
2. Any interested party may be represented by an attorney-at-law meeting the qualifications set forth in subsection 6(A) of this Rule.
3. A state or other governmental or quasi-governmental agency may be represented by a duly authorized representative.
4. The CSAB may, in its discretion, refuse to allow any person to represent others in any proceeding before it who persists in unethical conduct or who intentionally and repeatedly fails to observe the provisions of the 5 M.R.S. §§ 7081-7085, these rules or proper instructions of the chair or duly authorized substitute presiding officer.

7. Appeals to the CSAB**A. Individual Grievances and Disputes between Individual Classified and Unclassified Employees**

Pursuant to 5 M.R.S. § 7082(4), the CSAB is authorized to mediate the final settlement of grievances and disputes between individual state employees, both classified and unclassified, who are excluded from collective bargaining, and their respective state agency appointing authority. The decision of the CSAB is final and binding.

B. Procedural Requirements for CSAB Resolution of Grievance or Dispute

The CSAB procedure for resolution of grievances and disputes is available to eligible employees who have timely complied with the following procedural requirements pursuant to 5 M.R.S. § 7083:

1. The employee aggrieved or their representative, or both, shall have attempted to adjust the dispute through oral communication with the employee's immediate supervisor within 7 working days of the time that the employee is aware of the grievable incident. The immediate supervisor is then required to render an oral decision to the employee within 3 working days.
2. If the employee is dissatisfied with the oral decision of their immediate supervisor, they or their representative, or both, may, before the end of the 10th working day following the day of the oral decision, present the grievance to their supervisor again, this time in written form. The

supervisor is then required to make their decision in writing and present it to the employee within 10 working days.

3. If the employee is dissatisfied with the supervisor's written decision, they or their representative, or both, then may, before the end of the 20th working day following receipt of the decision, appeal in writing to the department head. The department head shall meet with the employee or their designated representative, or both, within 20 working days of receipt of the employee's notice of dissatisfaction and attempt to adjust the dispute. Within 5 working days, the department head shall render a decision in writing to the aggrieved employee and their representative.
4. If the classified employee is dissatisfied with the written decision following the meeting with the department head, they may appeal in writing to the Director of the Bureau of Human Resources within 7 working days of meeting with the department head. The director shall, within 10 working days reply in writing to the aggrieved employee, their representative and the department head involved stating their decision, based on the Civil Service Law and rules.
5. In the event the grievance shall not have been satisfactorily adjusted within the time limits in those sections, dispute may be submitted to the CSAB within 10 working days following receipt of the director's written decision.
6. Any grievance or dispute submitted to the CSAB pursuant to 5 M.R.S. § 7083 shall include copies of the decision of the Director of the Bureau of Human Resources and copies of the appointing authority's written decisions regarding the employee's attempts to adjust the grievance as outlined subsections 7(B)(1-5) of this rule.

C. Extension of Time Limit

The chair of the CSAB may extend any time limit specified in Section 6(B)(1)-(4), upon written application of either party on condition the application is submitted within the time provided in the applicable step. Failure of an employee to pursue a grievance within prescribed time limits shall constitute an acceptance of the last response by the department. Failure of the department to respond within the stipulated time limits provided for in the applicable step shall constitute an automatic waiver of that step and the employee may proceed to the next step as outlined in subsections 7(B)(1)-(4).

D. Appeals of Decisions of the Bureau of Human Resources Regarding Classification, Allocation, or Reallocation of Positions in the Classified Service

Pursuant to 5 M.R.S. § 7082(5), except as otherwise provided by a governing bargaining agreement, the CSAB may hear appeals by an employee or appointing authority aggrieved by the determination of the Director of the Bureau of Human Resources concerning the classification of positions, the allocation of new positions, or the reallocation of existing positions in the classified service. Any appeal must be made within 30 days after receipt of written notice of the determination from the Director of Human Resources. Appeals of inaction by the Director of the Bureau of Human Resources regarding a request for classification of positions, the allocation of new positions, or the reallocation of existing positions in the classified service or the unclassified service must be filed within 10 days after the expiration of the 25 days allotted for the processing of such requests by the Director of the Bureau of Human Resources. Any appeal of a decision of the Director of the Bureau of Human Resources regarding classification, allocation, or reallocation of positions in the classified service shall include a copy of the decision from which the appeal is taken. In the case of an appeal of inaction by the Director of the Bureau of Human Resources, the appeal shall include a copy of the request made to the Director of the Bureau of Human Resources. The employee or appointing authority, or their representatives shall be afforded a public hearing before the CSAB. The CSAB shall examine and review the appeal, and, upon the vote of at least 3 of its members, make changes in such classification, allocation, or reallocation as may be just and equitable.

8. Parties to Proceedings before the CSAB

All hearings, whether of individual or public concern, shall include the following parties:

- A. The employee or appointing authority requesting the appeal of a decision;
- B. In the case of an employee requesting an appeal, the appointing authority that made the decision under appeal; in the case of an appointing authority requesting an appeal, the employee who is the subject of the decision under appeal;
- C. The Director of the Bureau of Human Resources or designated representative(s) of the Director;
- D. Persons who establish entitlement to intervene as a party as determined by the CSAB, pursuant to subsection 9(S)(2) of this Rule.

9. Adjudicatory Proceedings: General Provisions

A. Notice of Proceedings

- 1. Notice of hearing shall be given as follows: By regular mail to the person or persons whose legal rights, duties, or privileges are at issue, sufficiently in advance of the hearing date to afford an adequate opportunity to prepare and submit evidence and argument.

2. In any proceeding of the CSAB, deemed by the CSAB, to involve the determination of issues of substantial public interest, notice shall be given to the public sufficiently in advance of the determination to afford interested persons an adequate opportunity to prepare and submit evidence and argument, to petition for intervention, to request notification of hearings, and to request a hearing, if so desired.
3. All notices of hearing shall contain the following:
 - a. A statement of legal authority and jurisdiction under which the proceeding is being conducted;
 - b. A reference to the particular substantive statutory and rule provisions involved;
 - c. A short and plain statement of the nature and purpose of the proceeding and of the matters asserted;
 - d. A statement of the time and place of the hearing;
 - e. A statement of the manner and time within which evidence and argument may be submitted to the CSAB for consideration.
 - f. Notice that when the appealing party fails to appear at the hearing, the CSAB may make informal disposition of the proceeding by default pursuant to Section 9(B) of these Rules.

B. Disposition without Full Hearing

1. The CSAB may make informal disposition of any adjudicatory proceeding by default when the appealing party fails to appear at the scheduled hearing, provided notice of the consequences of such failure to appear has been given said party. Any such default may be set aside by the CSAB for good cause shown. The procedure for good cause hearings is as follows:
 - a. Upon written request setting forth the reasons for failing to appear, CSAB may provide a good cause hearing to the appealing party that failed to appear at the hearing. If the CSAB determines that good cause exists, it will conduct a hearing on the underlying substantive issues.
 - b. Upon written request setting forth the reasons for failing to appear, the CSAB may provide a good cause hearing to the non-appealing party that failed to appear. If the CSAB determines that good cause exists, it will conduct a hearing on the underlying substantive issues.

- c. If it is decided, upon the reasons set forth in the written request and/or immediately upon completion of a good cause hearing, that a party did not have good cause for its nonappearance, no evidence will be taken on the substantive issues, which will have been rendered moot.
2. The CSAB may limit the issues to be heard or vary any procedure prescribed by these rules or the Maine Administrative Procedure Act if the parties and the CSAB agree to such limitation or variation, or if no prejudice to any party will result.

C. Ex Parte Communications; Separation of Functions

1. In any adjudicatory proceeding, no CSAB member shall communicate directly or indirectly, in connection with any issue of fact, law or procedure, with any party or other persons legally interested in the outcome of the proceeding, except upon notice and opportunity for all parties to participate.
2. This subsection shall not prohibit any CSAB member from:
 - a. Communicating in any respect with other members of the CSAB; or
 - b. Consultation with the Office of the Attorney General or duly authorized outside counsel or consultants who have not participated and will not participate in the CSAB proceeding in an advocate capacity.

D. Opportunity to be Heard

1. The opportunity for hearing shall be afforded without undue delay.
2. Unless limited by agreement under subsection (B)(2) of this section or unless otherwise limited by the CSAB to prevent repetition or unreasonable delay in proceedings, every party shall have the right to present evidence and arguments on all issues and at any hearing to call and examine witnesses and to make oral cross-examination of any person present and testifying.

E. Sequestration of Witnesses

All witnesses present, not including any interested party and their designated representative who have not yet testified in the proceeding before the CSAB must be sequestered. Witnesses who have testified but who may be recalled to testify further may be sequestered at the request of any party or upon the initiative of CSAB.

F. Evidence

1. The CSAB need not observe the rules of evidence observed by the courts but shall observe the rules of privilege recognized by law.
2. Evidence shall be admitted if it is the kind of evidence upon which reasonable persons are accustomed to rely in the conduct of serious affairs. The CSAB may exclude irrelevant or unduly repetitious evidence.
3. All witnesses shall be sworn.
4. Subject to these requirements, CSAB may, for the purposes of expediting adjudicatory proceedings, require the prefiling of all or part of the testimony of any witness in written form. Every such witness shall be subject to oral cross-examination.
5. No sworn written evidence shall be admitted unless the author is available for cross-examination or subject to subpoena, except for good cause shown.

G. Order of Proceedings

The procedural order of the proceedings before the CSAB shall be as follows:

1. Opening statement by the grievant (or party requesting the appeal) except in cases involving dismissal or disciplinary action, which case the state shall proceed first.
2. Opening statement by the opposing party.
3. Testimony on behalf of the grievant (or party requesting the appeal) except in cases involving dismissal or disciplinary action, in which case the testimony of witnesses on behalf of the state shall proceed first.
4. Testimony of witnesses on behalf of the opposing party.
5. Rebuttal testimony, if any, of the party who presented testimony first.
6. Closing statement by the grievant (or party requesting the appeal), except in cases involving dismissal or disciplinary action, in which case the closing statement by the state shall proceed first.
7. Closing statement by the opposing party
8. Rebuttal statement, if any, of the party who proceeded first.

The chair may alter the order of the proceedings whether on their own initiative or at the request of either party.

H. Examination of Witnesses

Witnesses shall be examined first by the party calling the witness, then cross-examined by the opposing party or parties, and then questioned by the CSAB at its discretion. Re-direct examination and re-cross examination shall be allowed in the discretion of the chair.

I. Burden of Proof

In cases involving dismissal or disciplinary action, the state shall have the burden of proving its case by a preponderance of the evidence. In all other cases, the party who filed the appeal with the CSAB shall have the burden of proof, by a preponderance of the evidence.

J. Continuance

All motions for continuance must be in writing and must be filed with the CSAB four days prior to the hearing date. Requests for continuance must be served on opposing parties or their representatives and shall include the reason for the request for continuance, and whether the opposing party agrees to the continuance.

K. Motions

All procedural motions related to the merits of the case shall be filed with the CSAB by the deadline established by the Pre-Trial Order, if any, and in no event later than four days prior to the hearing date. Such motions shall include, but not be limited to the following: 1) request for continuance; 2) motion to dismiss on jurisdictional grounds, or 3) motion for disqualification of any CSAB member.

L. Official Notice

1. The CSAB may take official notice of any facts of which judicial notice could be taken, and in addition may take official notice of general, technical or scientific matters within their specialized knowledge and of statutes, regulations and nonconfidential agency records. Parties shall be notified of the material so noticed, and they shall be afforded an opportunity to contest the substance or materiality of the facts noticed.
2. Facts officially noticed shall be included and indicated as such in the record.
3. Notwithstanding the foregoing, the CSAB may utilize their experience, technical competence and specialized knowledge in the evaluation of the evidence presented to them.

M. Record

1. In all adjudicatory proceedings the CSAB shall make a record consisting of the following:
 - a. All applications, pleadings, motions, preliminary and interlocutory rulings and orders;
 - b. Evidence received or considered;
 - c. A statement of facts officially noticed;
 - d. Offers of proof, objections and rulings thereon;
 - e. Proposed findings and exceptions, if any;
 - f. The decisions of the appointing authority or its designee at each stage of the grievance proceeding, and the decision of the Director of the Bureau of Human Resources or designee;
 - g. All staff memoranda submitted to the CSAB by staff of the Bureau of Human Resources in connection with their consideration of the case, except memoranda from the Office of the Attorney General or other duly authorized counsel.
2. CSAB hearings shall be recorded in a form susceptible to transcription. Portions of the record as required and specified in subsection 7(M)(1) of this section may be included in the recording. The Board shall not provide a transcript of the proceedings. In the event a party to the proceedings wishes to transcribe all or a portion of the proceedings, the recording and transcription shall be at the expense of the party making the request and shall be arranged by the party requesting the recording and transcription.
3. The CSAB shall make a copy of the record, including recordings made pursuant to subsection 7(M)(2) of this section, available at the office of assistant to the CSAB, Burton Cross Office Building, 222 Sewall Street, Augusta, Maine 04330, for inspection by any person during normal business hours; and shall make copies of the record, copies of recordings or transcriptions of recordings available to any person for a reasonable fee. Notwithstanding the provisions of this subsection, CSAB shall withhold, obliterate or otherwise prevent the dissemination of any portions of the record which are made confidential by State or federal statute, but shall do so in the least restrictive manner feasible. All decisions of the CSAB, including the record of the proceedings, shall be kept on file for a period of 45 years.

4. All material, including records, reports and documents in the possession of the CSAB, of which it desires to avail itself as evidence in making a decision, shall be offered and made part of the record, and no other factual information or evidence shall be considered in rendering a decision.
5. Documentary evidence may be incorporated in the record by reference when materials so incorporated are made available for examination by the parties before being received in evidence.

N. Subpoenas

1. In any adjudicatory proceeding, any party shall be entitled as of right to the issuance of a subpoena in the name of the CSAB, as appropriate, to require the attendance and testimony of witnesses and the production of any evidence relating to any issue of fact in the proceedings.
2. Authorized subpoenas shall be issued in accordance with the following:
 - a. The form of the subpoena shall adhere, insofar as practicable, to the form used in civil cases before the courts. Witnesses shall be subpoenaed within the territorial limits and in the same manner as witnesses in civil cases before the courts unless another territory or manner is provided by law. Subpoenas may be served by certified mail, return receipt requested, and also by first class mail. If circumstances require, the subpoena shall be served personally on the witness, according to the Maine Rules of Civil Procedure.
 - b. Witnesses subpoenaed for any hearing before the CSAB shall be paid witness and mileage fees by the party requesting the subpoena in accordance with the following schedule:

\$10.00 for each day's attendance and \$0.22 for each mile traveled between the witness' residence and the hearing location.
 - c. The subpoena shall show on its face the name and address of the party at whose request it was issued.
 - d. Any witness subpoenaed may petition the CSAB to vacate or modify a subpoena issued in its name. The CSAB shall give prompt notice to the party who requested issuance of the subpoena. After such investigation as CSAB considers appropriate, it may grant the petition in whole or in part upon a finding that the testimony or the evidence whose production is required does not relate with reasonable directness to any matter in question, or that a subpoena for the attendance of a witness or the production of evidence is unreasonable

or oppressive or has not been issued a reasonable period in advance of the time when the evidence is requested.

- e. Pursuant to Title 5 M.R.S. § 9060(1)(D) failure to comply with a subpoena lawfully issued and not revoked or modified shall be punishable as for contempt of court.

O. Decisions

1. Every decision of the CSAB made at the conclusion of an adjudicatory proceeding shall be in writing and shall include findings of fact sufficient to apprise the parties and any interested member of the public of the basis for the decision. A copy of the decision shall be delivered or promptly mailed to each party to the proceeding or their representative of record. Written notice of the party's rights to review of the decision by the courts, and of the action required and the time within which such action must be taken in order to exercise the right of review or appeal, shall be given to each party with the decision.
2. The CSAB shall maintain a record of the vote of each member of the CSAB with respect to the CSAB decision.

P. Disqualifications; Duties; Reports; Conflicts of Interest.

1. Whenever a CSAB member is disqualified or it becomes impracticable for them to continue the hearing, the remaining CSAB members may continue with the hearing; provided that there is a quorum, and further provided that, if it is shown that substantial prejudice to any party will thereby result, the remaining CSAB members shall commence the hearing anew.
2. It shall be the duty of the chair as presiding officer to:
 - a. Administer oaths and affirmations;
 - b. Rule on the admissibility of evidence;
 - c. Regulate the course of the hearing, set the time and place for continued hearings, and fix the time for filing of evidence, briefs and other written submissions; and
 - d. Take other action authorized by statute or these rules.
3. In the event that the presiding officer prepares any report or proposed findings, the report or findings shall be in writing. A copy of the report or findings shall be provided to each party and an opportunity shall be provided for a response or exceptions to be filed by each party.

4. Hearings shall be conducted in an impartial manner. Upon the filing in good faith by a party of a timely charge of bias or personal or financial interest, direct or indirect, of a CSAB member or presiding officer in the proceeding requesting that that person disqualify themselves, that person shall determine the matter as part of the record.

Q. Remote Participation.

1. In accordance with 1 M.R.S. § 403-B and the CSAB’s Remote Participation in Public Proceedings Policy (adopted September 28, 2023) (“Remote Participation Policy”), the CSAB may allow public proceedings, including hearings, to be conducted by remote means using synchronous telephonic or video technology which allows simultaneous reception and exchange of information.
2. While it is the expectation that all members of the CSAB will be physically present for public proceedings at the public meeting location, being physically present is not practicable. In addition, the CSAB may meet solely by remote means if an emergency or urgent situation requires that all members of the body meet only by remote methods. In those circumstances, public attendance may be restricted to remote access only at the public proceeding.
3. The procedures for remote participation in CSAB public proceedings shall be in accordance with 1 M.R.S. § 403-B, and the CSAB Remote Participation Policy.
4. A member of the CSAB who participates remotely in a CSAB proceeding is present for the purposes of a quorum and voting.

R. Appeals Involving Classification, Allocation or Reallocation Decisions of the Bureau of Human Resources

1. In appeals of a decision concerning the classification of positions, the allocation of new positions or the reallocation of existing positions which decision is known to have a direct and substantial impact on several other positions, or when an appeal is filed on behalf of a group of employees with respect to their several positions, the appeal filed shall be considered of substantial public interest and public notice of the hearing shall be made in accordance with Section 9(A)(2) of this Rule.
2. Any person may establish entitlement to intervene as a party to a particular proceeding involving a classification, allocation, or reallocation decision by submitting a timely application to intervene which demonstrates an interest on the basis that the proceeding to be held is, or is expected to be, of direct and substantial importance to their class of employment. Interest claimed shall be established under the following criteria:

- a. Facts and circumstances provided by application make evident a direct and consequential involvement on the basis of present or anticipated employment in a class of position within the organizational unit or units of the agency affected by the appeal; or
- b. Facts and circumstances provided by application make evident a direct and consequential involvement on the basis of employment in a class of position which is or may be assigned to the same (or related) occupational grouping as that addressed by the appeal.

3. Application to Intervene

- a. Applications to intervene in appeals involving a classification, allocation, or reallocation decision must be in writing and received by the CSAB at least 14 days prior to the hearing date and must contain the following information: 1) the name of the person, persons, or class of persons requesting to intervene; 2) reference the particular hearing at which intervention status is requested; 3) the facts and circumstances which support the application to intervene and which satisfy the standards for intervention outlined in section 8(S)(2) of this Rule.

4. Testimony

Testimony or documentary evidence offered by any party with respect to a classification, allocation, or reallocation appeal is expected to provide facts and circumstances to:

- a. Comparison of job duties referenced by the class specification to which the position is currently allocated within the class specification to which the appeal is directed;
- b. Documentation which supports a new and different classification consistent with the present classification plan;
- c. Changes in organizational structure and/or job duties since the position in question was last allocated.

10. PREHEARING PRACTICE FOR ADJUDICATORY PROCEEDINGS

A. Procedural Order and Prehearing Conferences

Upon receipt of the appeal, the chair may issue a procedural order for the purposes of resolving jurisdictional issues, setting procedures and scheduling, or other preliminary matters. The chair may, upon written notice to all parties and

proposed intervenors, hold a prehearing conference for the purposes of ruling on jurisdictional issues, pending motions, setting procedures and scheduling, formulating or simplifying the issues, arranging for the exchange of proposed exhibits, limiting the number of witnesses setting for the scope of testimony, providing for the procedure to be followed at the hearing, identifying proposed witnesses, discussing the status of stipulations, if any, and for any other purposes that may expedite the orderly conduct and disposition of the proceeding.

B. Prehearing Memoranda

The chair may require the parties to file prehearing memoranda and to serve a copy of the memoranda on all parties of record.

C. Prehearing Order

The chair may issue an order based upon the prehearing conference or the prehearing memoranda which will control the course of subsequent proceedings. Modification of the order may be allowed at the hearing by the chair for good cause or to avoid significant prejudice.

STATUTORY AUTHORITY: 5 M.R.S. § 7082.

EFFECTIVE DATE: