

§ 2.2-4020. Formal hearings; litigated issues.

A. The agency shall afford opportunity for the formal taking of evidence upon relevant fact issues in any case in which the basic laws provide expressly for decisions upon or after hearing and may do so in any case to the extent that informal procedures under § [2.2-4019](#) have not been had or have failed to dispose of a case by consent.

B. Parties to formal proceedings shall be given reasonable notice of the (i) time, place, and nature thereof; (ii) basic law under which the agency contemplates its possible exercise of authority; (iii) matters of fact and law asserted or questioned by the agency; and (iv) contact information consisting of the name, telephone number, and government email address of the person designated by the agency to respond to questions or otherwise assist a named party. Applicants for licenses, rights, benefits, or renewals thereof have the burden of approaching the agency concerned without such prior notice but they shall be similarly informed thereafter in the further course of the proceedings whether pursuant to this section or to § [2.2-4019](#).

C. In all such formal proceedings the parties shall be entitled to be accompanied by and represented by counsel, to submit oral and documentary evidence and rebuttal proofs, to conduct such cross-examination as may elicit a full and fair disclosure of the facts, and to have the proceedings completed and a decision made with dispatch. The burden of proof shall be upon the proponent or applicant. The presiding officers at the proceedings may (i) administer oaths and affirmations, (ii) receive probative evidence, exclude irrelevant, immaterial, insubstantial, privileged, or repetitive proofs, rebuttal, or cross-examination, rule upon offers of proof, and oversee a verbatim recording of the evidence, (iii) hold conferences for the settlement or simplification of issues by consent, (iv) dispose of procedural requests, and (v) regulate and expedite the course of the hearing. If the hearing record contains information that is confidential, the hearing officer may conduct a closed hearing to discuss the information, issue necessary protective orders, and seal all or part of the hearing record. Where a hearing officer presides, or where a subordinate designated for that purpose presides in hearings specified in subsection F of § [2.2-4024](#), he shall recommend findings and a decision unless the agency shall by its procedural regulations provide for the making of findings and an initial decision by the presiding officers subject to review and reconsideration by the agency on appeal to it as of right or on its own motion. The agency shall give deference to findings by the presiding officer explicitly based on the demeanor of witnesses.

D. Prior to the recommendations or decisions of subordinates, the parties concerned shall be given opportunity, on request, to submit in writing for the record (i) proposed findings and conclusions and (ii) statements of reasons therefor. In all cases, on request, opportunity shall be afforded for oral argument (a) to hearing officers or subordinate presiding officers, as the case may be, in all cases in which they make such recommendations or decisions or (b) to the agency in cases in which it makes the original decision without such prior recommendation and otherwise as it may permit in its discretion or provide by general rule. Where hearing officers or subordinate presiding officers, as the case may be, make recommendations, the agency shall receive and act on exceptions thereto.

E. All decisions or recommended decisions shall be served upon the parties, become a part of the record, and briefly state or recommend the findings, conclusions, reasons, or basis therefor upon the evidence presented by the record and relevant to the basic law under which the agency is operating together with the appropriate order, license, grant of benefits, sanction, relief, or denial thereof.

HEARING OFFICER DESKBOOK

A REFERENCE FOR VIRGINIA HEARING OFFICERS

Published by the Office of the Executive Secretary of the Supreme
Court of Virginia

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ADMINISTRATIVE LAW ADVISORY COMMITTEE

The Administrative Law Advisory Committee (ALAC) approved this revision of the Hearing Officer Deskbook at its meeting on ~~October 31~~ _____, ~~2013~~2016. The Hearing Officer Deskbook was first produced by ALAC and published by the Office of the Executive Secretary of the Supreme Court of Virginia in 2001 and was revised in ~~October 2009~~ and December 2013.

TABLE OF CONTENTS

TABLE OF CONTENTS 1

I. APPLICABILITYiv

II. QUALIFICATIONS AND RESPONSIBILITIES 2

 A. Hearing Officer Qualifications 2

 B. Hearing Officer Responsibilities 2

III. ASSIGNMENT OF THE CASE 4

IV. PRE-HEARING ISSUES 5

 A. Scheduling, Notice and Location 5

 B. Exchange of Information 6

 C. Pre-Hearing and Settlement Conferences 6

 D. Subpoenas 8

 E. *Ex Parte* Communications 9

V. THE HEARING 11

 A. Failure to Attend Hearing 11

 B. Written Statements 11

 C. Evidence 12

 D. Experts 13

 E. Standard and Burden of Proof 13

 F. The Hearing Record and Transcript 13

 G. Open Meetings and the News Media 14

 H. Recusal/Disqualification 14

HEARING OFFICER DESKBOOK

VI. POST-HEARING ISSUES	16
Duration of a Hearing Officer’s Authority	16
VII. THE DECISION/ RECOMMENDATION.....	17
Drafting the Decision	17
VIII. APPENDIX	19
Hearing Officer System Rules of Administration	

I. APPLICABILITY

This Deskbook contains procedural guidelines that are intended to assist hearing officers in the conduct of formal hearings for administrative agencies of the Commonwealth pursuant to [§Section 2.2-4020](#) of the Code of Virginia. These guidelines create no legal mandates or requirements, but they should be used to assist hearing officers in handling hearings and proceedings. They are, however, intended for use only when agency statutes and rules are vague or do not address the issue in question. Whenever there is a statute or an agency rule on point, the statute or agency rule applies. Although these guidelines were written for hearings involving case decisions pursuant to [§Section 2.2-4020](#) of the Code of Virginia, they are useful guidelines for other adjudicative settings. They also may be used with certain modifications for informal fact-finding proceedings held pursuant to [Section§ 2.2-4019](#) of the Code of Virginia.

The Office of the Executive Secretary of the Supreme Court of Virginia, the Administrative Law Advisory Committee, state agency personnel, and several hearing officers have contributed to the development of this publication. It marks the continuation of a process to articulate standard guidelines and suggestions for Virginia hearing officers, and its contents may be changed or supplemented from time to time at the request of agencies and hearing officers. The Office of the Executive Secretary of the Supreme Court of Virginia publishes these guidelines and may be contacted for suggestions or additional copies.

II. QUALIFICATIONS AND RESPONSIBILITIES

A. Hearing Officer Qualifications

Hearing officers must meet the following standards:

1. Active membership in good standing in the Virginia State Bar,
2. Active practice of law for at least five years, and
3. Completion of courses of training as required by statute and approved by the Executive Secretary of the Supreme Court of Virginia pursuant to Rule Two (B) (6) and Three (A) (1) of the [Hearing Officer System Rules of Administration](#). Additional training requirements may be imposed by agencies to qualify the hearing officer to hear cases for those agencies.

Comment

These hearing officer qualifications apply only to hearing officers on the list prepared and maintained by the Office of the Executive Secretary of the Supreme Court of Virginia pursuant to [Section 2.2-4024 of the Code of Virginia](#). The qualifications do not apply to hearing officers used by agencies exempt from the requirement to use a hearing officer from this list.

The Hearing Officer System Rules of Administration (included as an Appendix) require hearing officers to have prior experience with administrative hearings or knowledge of administrative law, demonstrated legal writing ability, and a willingness to travel to any area of the state to conduct hearings. According to Rule Two (B) (2) of the Hearing Officer System Rules of Administration, one is engaged in the "active practice of law ... when, on a regular and systematic basis, in the relation of attorney and client, one furnishes to another advice or service under circumstances which imply his possession and use of legal knowledge and skill."

B. Hearing Officer Responsibilities

Generally, the hearing officer's responsibilities are to:

1. Adhere to timelines that may be imposed by the agency.
2. Establish the time, place and nature of the hearing and provide reasonable notice of these to the parties.

HEARING OFFICER DESKBOOK

3. Manage the pre-hearing exchange of information so that all parties have access to the information that may be admitted into evidence and to the witnesses that may be called.
4. Establish the hearing procedure to be used and communicate this to the parties so that they will know what to expect. This may be done during the pre-hearing exchange or immediately before the hearing.
5. Manage the transcript and record of the case. The record should include a transcript or audible recording of the hearing, all evidence submitted or information exchanged, and any subsequent motions and pre- and post-hearing filings.
6. Make a timely decision and communicate it promptly to the parties.

Parties to the case should be treated professionally by the hearing officer and receive a cogent decision in a timely manner. The hearing officer should control the hearing and the parties in a professional manner, including creating a setting that enables the parties to provide the hearing officer with the evidence needed to render a proper decision. Accordingly, the hearing officer must be prepared to deal with and make any necessary accommodations for parties with special needs. It is also the hearing officer's responsibility to manage the record. The record should be clear, complete, and orderly, so that anyone reading the hearing officer's report may ascertain the evidence and testimony that he has relied upon in deciding the case or in recommending a decision to the agency.

If a hearing officer fails to perform these responsibilities in a professional and ethical manner, the hearing officer may be removed or disqualified pursuant to the Hearing Officer System Rules of Administration. (see Appendix).

III. ASSIGNMENT OF THE CASE

A hearing officer should adhere to the following guidelines when accepting an assignment of a case:

1. A hearing officer should never accept a case that would create a conflict of interest or create the appearance of a conflict of interest.
2. A hearing officer who has an ongoing assignment with an agency should not take a case involving that agency.
3. A hearing officer should not represent a client that has a matter pending before an agency for which the hearing officer has an ongoing assignment.
4. In deciding whether to accept a case, a hearing officer should consider other commitments, real and potential conflicts of interests, and any other factors that may limit the hearing officer's ability to act as an effective, unbiased adjudicator.
5. Standard rules of legal ethics with regard to conflicts of interest always apply to attorneys who are hearing officers.

Comment

See the "Recusal and Disqualification" section of this handbook and the Hearing Officer System Rules of Administration, included as the Appendix. For further guidance on potential conflicts, see the [Rules of Professional Conduct](#) (Rules of the Supreme Court of Virginia, Part Six, Section II) and [Unauthorized Practice Rules](#) (Rules of the Supreme Court of Virginia, Part Six, Section I).

IV. PRE-HEARING ISSUES

A. Scheduling, Notice and Location

1. Once the hearing officer has been appointed, and absent instructions from the agency to the contrary, the hearing officer is responsible for scheduling the hearing and providing notice to the parties. Even if the hearing officer is not responsible for scheduling the hearing, the hearing officer should ensure that the agency complies with all legal requirements for scheduling the hearing and providing notice.
2. Hearings should be scheduled at a time and in a manner convenient to all parties. Virginia Code Section [2.2-4020](#) sets the standards for reasonable notice of the time, place, and nature of the proceeding. If the parties agree, the hearing can be held sooner than indicated on the notice. The hearing officer may grant a change in time, place or date in order to prevent substantial delay, expense, or detriment to the public interest, or to avoid undue prejudice to a party. However, the hearing officer must remember that any rescheduling cannot interfere with statutory or regulatory deadlines.
3. Unless previously specified by the agency, the place at which the hearing will be held shall be determined by the hearing officer. The hearing should be held at a place that is convenient to the parties.
4. Virginia Code Section [2.2-4020](#) requires reasonable notice to the parties of (i) the basic law or laws under which the agency contemplates its possible exercise of authority and (ii) the matters of fact and law asserted or questioned by the agency.

Comment

Cases heard pursuant to Virginia Code Sections [2.2-4019](#) and [2.2-4020](#) of the Administrative Process Act impose a deadline of 90 days for issuing a decision once a case has been heard. Hearing officers should bear in mind that some agencies have deadlines for issuing decisions that run from the time of scheduling a hearing.

What is considered "reasonable" notice depends on the circumstances and cannot be determined in a vacuum. In most cases, reasonable notice is 30 days prior to the date scheduled for the hearing. However, the agency's basic law or circumstances may indicate a shorter period.

The hearing officer should be as flexible as possible in scheduling hearings, and may wish to consider evening and weekend hearings if that is convenient to the parties.

B. Exchange of Information

1. The Administrative Process Act does not permit discovery. However, Section [2.2-4019](#) provides that "agencies may, in their case decisions, rely upon public data, documents or information only when the agencies have provided all parties with advance notice of an intent to consider such public data, documents or information."
2. The hearing officer can make the hearing operate more smoothly and prevent surprises by requiring all parties to exchange the information that they intend to rely upon in advance of the hearing. Information to be exchanged should include a list of witnesses each party intends to call and any documents that will be offered into evidence. The hearing officer may also require that copies of all such documents be sent to him or her in order to prepare for the hearing. Some hearing officers set the deadline for the exchange of information at one week before the hearing, so that there is an opportunity to issue a reminder if necessary. Reminding the parties that they may not call any witnesses or enter any evidence not exchanged in advance of the hearing will help to ensure compliance.
3. When it is desirable to have an advance written exchange of confidential or proprietary information, the hearing officer can use safeguards to ensure confidentiality. For example, the hearing officer may issue a protective order or obtain the commitment of the parties receiving the material to limit its distribution. As an additional safeguard, all copies of such material should bear a prominent statement of the limitations upon its distribution.

Additional Reference

For additional guidance on confidential information, see Morell E. Mullins, *Manual for Administrative Law Judges*, 23 J. Nat'l Ass'n Admin. L. Judges. (2004), pp. 91-95, available at <http://digitalcommons.pepperdine.edu/naalj/vol23/iss3/1>.

C. Pre-Hearing and Settlement Conferences

1. On motion by a party or by the hearing officer's own order, the hearing officer may schedule a pre-hearing conference. Any pre-hearing conference should

HEARING OFFICER DESKBOOK

- be scheduled with due regard for the convenience of all parties, and allow reasonable notice of the time, place, and purpose of the conference to all parties. A conference should be held in person and on the record, unless the hearing officer concludes that personal attendance by the hearing officer and the parties is unwarranted or impractical; in this instance, the conference may be held by telephone or other appropriate means but will still be on the record. Among the topics that may be included in a pre-hearing conference are:
- a. Identification, simplification and clarification of the issues;
 - b. Explanation of procedures, establishment of dates (i.e. for hearings or submissions), and explanation of the roles of the parties, representatives, and the hearing officer;
 - c. Stipulations and admissions of fact, and of the content and authenticity of documents;
 - d. Disclosure of the number and identities of witnesses;
 - e. Exploration of the possibility of settlement; and
 - f. Identification of such other matters as shall promote the orderly and prompt conduct of the hearing.
2. A hearing officer may require all parties to a case to prepare pre-hearing statements at a time and in a manner established by the hearing officer. Among the topics that may be included in a pre-hearing statement are:
- a. Issues involved in the case;
 - b. Stipulated facts (together with a statement that the parties have communicated in a good faith effort to reach stipulations);
 - c. Facts in dispute;
 - d. Witnesses and exhibits to be presented, including any stipulations relating to the authenticity of documents and witnesses as experts;
 - e. A brief statement of applicable law;
 - f. The conclusion to be drawn; and
 - g. The estimated time required for presentation of the case.
3. Early, informal resolution of disputes is encouraged. However, the hearing officer should not attend or preside at any settlement or alternative dispute resolution conferences, and settlement discussions shall not be made a part of the record. Instead, the hearing officer should contact the agency to ensure that such settlement is permissible, invite a motion to pursue resolution through alternative dispute resolution, then grant and record that motion on the record. Ordinarily, a stay should be issued upon request of both parties to pursue alternative dispute resolution.

Additional Reference

HEARING OFFICER DESKBOOK

For additional guidance on pre-hearing and settlement conferences, see Morell E. Mullins, *Manual for Administrative Law Judges*, 23 J. Nat'l Ass'n Admin. L. Judges (2004), pp. 24-39, available at <http://digitalcommons.pepperdine.edu/naalj/vol23/iss3/1>.

Comment

The hearing officer may wish to discuss any guidelines for written testimony, and estimate the time required for the hearing. After the hearing or conference, it may be helpful to summarize the pre-hearing conference and any agreements reached, and mail copies to all parties.

D. Subpoenas

1. Virginia Code Section [2.2-4022](#) provides that "[t]he agency or its designated subordinates may, and on request of any party to a case shall, issue subpoenas requiring testimony or the production of books, papers, and physical or other evidence."
2. Hearing officers are not presumed to have the power to issue subpoenas. However, the authority to issue subpoenas may be addressed in the appointment letter from the agency. If not addressed, the hearing officer should contact the agency to determine whether the agency has delegated this authority.
3. Any person who is subpoenaed may petition the hearing officer to quash or modify the subpoena. A hearing officer may quash or modify a subpoena where the evidence sought is irrelevant or inadmissible, or when the subpoena was illegally or improvidently granted. If a hearing officer refuses to quash a subpoena, the objecting party may petition the circuit court for a decision on the validity of the request for the subpoena. If a party refuses to comply with a subpoena, the hearing officer may procure enforcement from the circuit court. The appropriate circuit court is determined by Virginia Code Section [2.2-4003](#).

Comment

The statutory right to a subpoena *duces tecum* is not unlimited. Virginia Code Section [2.2-4022](#) creates a right for the parties to subpoena evidence that is relevant and admissible as evidence in the administrative proceeding. See *State Health Dept. Sewage Handling & Disposal Appeal Review Board v. Britton*, 15 Va. App. 68, 421 S.E.2d 37 (1992).

HEARING OFFICER DESKBOOK

In some agencies, the hearing officer must issue a subpoena upon request, subject to a motion to quash. In other agencies, the hearing officer may refuse to issue a subpoena absent a showing of relevance and need. In either case, to prevent evasion of service, the subpoena usually is granted *ex parte* and its signing is not disclosed until either service has been accomplished or the party who obtained the subpoena chooses to disclose it.

Even if reimbursed for travel expenses and compensated by witness fees, some witnesses are greatly inconvenienced and may be subject to severe hardship if required to travel far from home in order to comply with a subpoena. Similarly, a subpoena's *duces tecum* may compel the assembling and delivery of bulky documents and may deprive a business of records and files needed for its daily operation. Accordingly, these burdens should not be lightly imposed. The hearing officer may, in appropriate cases, and subject to agency rules, shift some of these burdens to the party seeking documents by permitting inspection and reproduction of documents on the premises where they are regularly kept. The hearing officer also may encourage agreements between the parties which provide for the submission of copies of specified material at the hearing, subject to verification procedures agreeable to the parties.

Sometimes subpoenas will be requested for material the hearing officer has previously ruled need not be produced. Upon learning of this, the hearing officer should deny the request unless it appears that circumstances dictate that the earlier ruling should be changed. It is not usually worthwhile, however, to search the record of a lengthy pre-hearing conference or other pre-hearing actions to determine whether the matter has already been considered. The subpoenaed witness can always move to quash a subpoena *duces tecum* on these grounds.

Additional Reference

For additional guidance on subpoenas, see Morell E. Mullins, *Manual for Administrative Law Judges*, 23 J. Nat'l Ass'n Admin. L. Judges (2004), pp. 40-42, available at <http://digitalcommons.pepperdine.edu/naali/vol23/iss3/1>.

E. *Ex Parte* Communications

1. In order to ensure an impartial and fair proceeding, *ex parte* communications with any party, counsel, or other interested person should be avoided from the outset. *Ex parte* communications is one of the factors that can disqualify a hearing officer from continuing to preside in a case if such communications "would cause a reasonable person to question the impartiality of the ... hearing officer," pursuant to Virginia Code Section 2.2-4024.1 (B).
2. Upon receiving an *ex parte* communication, the hearing officer should promptly make note of that communication for the record and bring it to the

HEARING OFFICER DESKBOOK

attention of all the parties involved. All parties should be afforded adequate opportunity to comment on the record regarding the communication.

Comment

Communications between the hearing officer and one party without the presence of the other party are always suspect. Some *ex parte* communications are innocent in the sense that the person approaching the hearing officer is unaware that this action is improper. When such an incident occurs, the hearing officer should prepare a written memorandum describing the communication and file it in the record and should follow the procedures set forth in Virginia Code Section 2.2-4024.2. Some communications may not be related to the merits of the case, but they still generate controversy. For example, although a request for a postponement is not usually related to the merits of the case, concerns an uncontested procedural issue, or a ministerial matter, the request should not be granted without consulting the other party or parties. If the hearing officer believes the communication has no bearing on the case, it does not need to be recorded. However, these are rare instances, reserved for telephone calls confirming the date of a hearing and the like, and a hearing officer should err on the side of recording every communication to relieve any doubt of impropriety.

Additional Reference

For additional guidance on *ex parte* communications, see Morell E. Mullins, *Manual for Administrative Law Judges*, 23 J. Nat'l Ass'n Admin. L. Judges (2004), pp. 122-124, available at <http://digitalcommons.pepperdine.edu/naalj/vol23/iss3/1>.

V. THE HEARING

A. Failure to Attend Hearing

1. A party who fails after proper notice to attend a pre-hearing conference should be notified of any rulings made during the conference and provided the opportunity to object.
2. In the absence of a party who, after proper notice and without good cause, fails to attend, the hearing officer may either proceed with the hearing and render a decision or issue a default order pursuant to Virginia Code Section 2.2-4020.2.

Comment

Although a hearing officer may proceed with a scheduled conference if one party fails to appear, hearing officers are encouraged to delay ruling until the absent party has been consulted.

A hearing officer may delay the hearing while trying to find the absent party. After hearing a case in which a party fails to attend, the hearing officer may hold the record open until the report is issued to the agency. Unless otherwise limited in the agency's rules, it is in the discretion of the hearing officer whether to reconvene the hearing. If the party who failed to appear provides a reason for such absence, which, if proven, would constitute good cause, a hearing officer who still has authority over the case may reconvene the hearing. A hearing officer's determination of good cause should not be made *ex parte*.

B. Written Statements

A hearing officer may allow written statements of a witness to be admitted into the record and should direct parties to exchange all written statements in a reasonable time before the hearing. Prior exchange of written statements allows parties to subpoena those submitting the statements for cross-examination, or to object to the introduction of the written statement.

Comment

In order to address admissibility or credibility issues, the hearing officer may wish to establish guidelines for the submission of written statements prior to the hearing. Preparation and exchange of written statements can be very beneficial, especially in complex cases. In proceedings where written statements are involved, the hearing officer should require such information to be exchanged as part of the prehearing development of a case in order to allow parties an opportunity to subpoena witnesses

HEARING OFFICER DESKBOOK

for cross-examination. For credibility and cross-examination purposes, it is always preferable that a witness be present and testify at a hearing.

The probative weight of a written statement is left to the hearing officer's discretion.

See: *Baker v. Babcock & Wilcox Co.*, 11 Va. App. 419, 399 S.E.2d 630 (1990) (claimant was not denied his right to cross-examine a witness who submitted a written statement because the claimant failed to subpoena her or otherwise pursue cross-examination); *Klimko v. VEC*, 216 Va. 750, 222 S.E.2d 559, cert. denied, 429 U.S. 849 (1976) (claimant was not denied his right to cross examination and confrontation because he did not pursue them); *Virginia Real Estate Commission v. Bias*, 226 Va. 264, 308 S.E.2d 123 (1983) (findings of administrative agencies will not be reversed solely because evidence was received that would have been inadmissible in court).

C. Evidence

Hearsay may be admissible, provided it is otherwise reliable. A hearing officer is directed by Virginia Code Section [2.2-4020](#) (C) to: “receive probative evidence, exclude irrelevant, immaterial, insubstantial, privileged, or repetitive proofs, rebuttal, or cross-examination, rule upon offers of proof, and oversee a verbatim recording of the evidence, . . .”

See: *Mirabile Corp. v. Va. Alcoholic Bev. Control Bd.*, No. 2126-02-4, 2003 Va. App. LEXIS 493 (Ct. of Appeals Sept. 30, 2003) (admission of a photocopy of a minor’s identification card was not error as there was testimony that the photocopy was a true copy of the original, nor was the board required to call the minor, where neither the minor nor the original were available);

Hearsay is not inadmissible *per se*. Unless statute or agency rule requires otherwise, any evidence may be admitted if it appears to be relevant, reliable, and not otherwise improper.

Comment

The probative weight of hearsay evidence is left to the hearing officer's discretion. The hearing officer should ensure that rulings resulting from attempts to introduce evidence are explained on the record.

Additional References

For additional guidance on evidence and hearsay, see Morell E. Mullins, *Manual for Administrative Law Judges*, 23 J. Nat’l Ass’n Admin. L. Judges (2004), pp. 85-88, available at <http://digitalcommons.pepperdine.edu/naalj/vol23/iss3/1>. For a discussion of the use of the rules of evidence for federal administrative law judges (but applicable to Virginia because of the recent codification of its Rules of Evidence), see Christine

HEARING OFFICER DESKBOOK

McKenna Moore, *Evidence for Administrative Law Judges*, 15 J. Nat'l Ass'n Admin. L. Judges. (1995), pp.201-212 available at <http://digitalcommons.pepperdine.edu/naali/vol15/iss2/4>.

D. Experts

Expert opinions may be admitted in administrative proceedings. Before the date of the hearing, all parties should exchange the names, addresses, and qualifications of any expert that may testify. It is within the hearing officer's discretion to qualify an expert and determine the weight afforded to expert opinions. Hearing officers are not bound by expert opinions presented to them, and at times must resolve conflicts between expert testimonies. By statute, in civil cases, no expert or lay witness shall be prohibited from expressing an opinion on the ultimate issue of fact. (Virginia Code Section [8.01-401.3](#) (B)) However, this section prohibits such witnesses from expressing any opinion which constitutes a conclusion of law.

E. Standard and Burden of Proof

1. No single standard of proof governs in all types of administrative hearings; the standard applicable to a particular type of hearing depends on the relevant statute or agency rule.
2. The burden of meeting this standard of proof may shift between the parties.

F. The Hearing Record and Transcript

1. The record usually consists of:
 - a. A letter of appointment.
 - b. Notice of a party's request for a hearing.
 - c. Any rulings by the agency.
 - d. Notices of all proceedings.
 - e. Any pre-hearing orders.
 - f. Any motions, briefs, pleadings, petitions and intermediate rulings.
 - g. All evidence produced, whether admitted or rejected.
 - h. A statement of all matters officially noticed.
 - i. Proffers of proof and objections and rulings thereon.
 - j. Proposed findings, requested orders and exceptions.
 - k. A transcript or recording of the hearing.
 - l. Any initial order, final order or order on reconsideration.
 - m. Matters placed on the record after an *ex parte* communication.
 - n. Agency submissions to the hearing officer.
2. The record should be organized, indexed, tabbed, and otherwise assembled so that easy reference to the record can be made and readily cited.

HEARING OFFICER DESKBOOK

3. The hearing officer's responsibility for assembling and preserving the record begins when the hearing officer accepts the case assignment. It continues until the hearing officer submits a final decision or report.

Comment

It is the hearing officer's responsibility to ensure that either a transcript or a recording of the hearing is made. If the hearing is to be recorded, the hearing officer should test the equipment before the hearing to ensure that it is operating correctly.

G. Open Meetings and the News Media

1. In the absence of a statute or agency rule to the contrary, hearings are open to the public.
2. During the course of a hearing, the hearing officer will be called upon to make decisions whether to sequester witnesses or to limit the distribution of evidence.
3. The hearing officer has the right to manage accessibility to media and spectators in the interest of providing a fair hearing and protecting the interests of all involved.

H. Recusal/Disqualification

Subsection C of Virginia Code Section 2.2-4024 requires that a hearing officer who may be unable to act fairly and impartially withdraw from the case.

1. Any party may request the disqualification of the hearing officer by promptly filing an affidavit with the appointing authority upon discovering a reason for disqualification. These reasons are set forth in Virginia Code Section 2.2-4024.1.
2. Possible reasons for recusal or disqualification include, but are not limited to:
 - a. Conflict of interest, including:
 - (i) having a financial interest in the outcome of the case;
 - (ii) the hearing officer's firm representing one of the parties involved; or
 - (iii) a member of the hearing officer's family being employed by one of the parties involved.
 - b. Bias toward or against one of the parties involved;
 - c. Prejudgment of one or more of the issues involved; or
 - ~~e.d.~~ Ex parte communications; or
 - ~~d.e.~~ Disability.

HEARING OFFICER DESKBOOK

Comment

See the [Rules of Professional Conduct](#) (Rules of the Supreme Court of Virginia Part Six, Section II) and [Unauthorized Practice Rules](#) (Rules of the Supreme Court of Virginia, Part Six, Section I).

An impartial decision-maker is essential. While no one is totally free from all possible forms of bias or prejudice, the hearing officer must conscientiously strive to set aside preconceptions and rule as objectively as possible on the basis of the evidence in the record. In addition, and despite a hearing officer's subjective good faith, a hearing officer who has a financial interest (even if small or diluted) in the outcome of the case should not decide that case.

When a hearing officer questions whether or not to recuse himself or herself, it is preferable to choose recusal. If grounds for finding bias truly exist, then recusal is preferable to risking a later reversal and jeopardizing the validity of the entire proceeding. A hearing officer's unreasonable failure to recuse himself or herself may lead to permanent removal from the list of hearing officers maintained by the Executive Secretary of the Supreme Court of Virginia. Requests to remove a hearing officer from a case should be made before the hearing.

Additional Reference

For additional guidance on bias and recusal, see Morell E. Mullins, *Manual for Administrative Law Judges*, 23 J. Nat'l Ass'n Admin. L. Judges (2004), pp. 124-125, available at <http://digitalcommons.pepperdine.edu/naalj/vol23/iss3/1>.

VI. POST-HEARING ISSUES

Duration of a Hearing Officer's Authority

1. A hearing officer's authority begins with acceptance of the case assignment.
2. Subject to statute or agency rule, a hearing officer has authority over a proceeding until:
 - a. the agency revokes such authority; or
 - b. a decision or recommendation has been rendered and the appropriate period for appeal or reconsideration has expired.

VII. THE DECISION/ RECOMMENDATION

Drafting the Decision

- A. A hearing officer's decision or recommendation may contain the following:
1. Title page with the name of the case, type of decision, the date of issuance, and the name of the hearing officer;
 2. List of appearances, including the name and address of every person who entered an appearance and the persons or organizations represented;
 3. Service sheet, including the name and address of every person on whom the decision should be served;
 4. Findings and conclusions, and the reasons therefor, on all material issues of fact, law, or discretion presented on the record, including specific citations to the applicable portions of the record;
 5. An order as to the final disposition of the case, including relief, if appropriate;
 6. The recommended date upon which the decision will become effective, as appropriate, subject to further appeal; and
 7. A statement of the right to appeal, including any deadlines for appeal.
- B. In reaching a decision or recommendation, the hearing officer should consider the entire record, and the hearing officer should refer frequently to specific evidence in the record in the opinion or report.
- C. The decision or recommendation should be written as soon after the conclusion of the hearing as possible, while all evidence and testimony are fresh in the hearing officer's mind. Virginia Code Section [2.2-4021](#) requires that hearing officers render a decision or recommendation within 90 days of the date of the proceeding or at a later date agreed to by the parties.
- D. The hearing officer should deliver the decision or recommendation to the parties and deliver the record as directed by the agency.

Comment

The opinion or report accompanying a hearing officer's decision or recommendation should be concise and well reasoned. Its length and detail should be determined by the

HEARING OFFICER DESKBOOK

complexity of the issues involved. The hearing officer should consult the agency to see if the agency prefers a certain format for notices and decisions.

Additional References

For additional guidance on writing the decision or recommendation, see Morell E. Mullins, *Manual for Administrative Law Judges*, 23 J. Nat'l Ass'n Admin. L. Judges (2004), pp. 127-157, available at <http://digitalcommons.pepperdine.edu/naalj/vol23/iss3/1>. Also, for assistance with drafting a decision that will be helpful on judicial review, see Patrick J. Borchers, *Making Findings of Fact and Preparing a Decision*, 11 J. Nat'l Ass'n Admin. L. Judges. (1991) pp. 85-97 available at <http://digitalcommons.pepperdine.edu/naalj/vol11/iss2/2>.

VII. APPENDIX

Hearing Officer System Rules of Administration

Suggested alternative language for use of protective orders under § 2.2-4020
(Roger)

Consider creating a new subsection 2.2-4020(D) (redesignated) as follows:

Upon the motion of the agency or of a party the presiding officer shall conduct a closed hearing and may issue protective orders to close or seal the hearing record in whole or in part as may be necessary to allow the agency upon issuance of its final case decision to comply with the provisions of § 2.2-4023.