

Revisions to Academic Staff Personnel Policies & Procedures Chapter 111: Complaints

Rationale: At the request of the Academic Staff Committee, the Academic Hearing & Appeals Committee (ASHAC) recommended changes to Chapter 111. At the request of the Academic Staff Committee, the Academic Staff Codification Committee reviewed changes to Chapter 111. ASHAC and the Codification Committee recommends these changes to align the complaint policy more closely with actual practice and outline clearer and more complete procedures while still conforming to the UW-System policy (UWS 13.01) on which Chapter 111 is based.

Tracked version

Chapter 111 Complaints

111.01 Definition

111.02 [Validity of Complaints](#) [Review of Complaints](#)

111.03 [Investigation and](#) Hearing of Complaints

111.01 Definition

A complaint is an allegation by persons other than the academic staff member's supervisor(s), including administrators, students, other academic staff, faculty, university staff, or member of the public concerning the conduct of an academic staff member that is not serious enough to warrant dismissal proceedings.

(AS Doc. 101, 4/2016)

[111.02 Validity of Complaints](#)

~~A complaint shall be valid only if the conduct is related to University rules and policies or the academic staff member's assigned responsibilities, and if it is signed by the complainant. This chapter shall not abridge rights which are protected by the U.S. Constitution or other federal and state laws. When signed complaints are filed with a dean, division head, or the Chancellor, the academic staff member about whom the complaint was filed shall be given the opportunity to first seek to resolve the complaint informally. If the complaint cannot be satisfactorily resolved, the dean, division head, or the Chancellor shall direct the complaint to the Academic Staff Hearing and Appeals Committee.~~

~~(AS Doc. 101, 4/2016)~~

[111.03 Hearing of Complaints](#)

~~The Hearing and Appeals Committee shall investigate and, where deemed necessary, conduct a hearing on the allegation and then recommend to the Chancellor either a dismissal of the complaint or a resolution of the complaint. The Chancellor shall inform the academic staff member and the Hearing and Appeals Committee of his/her decision within 15 working days of receipt of the recommendation of the Hearing and Appeals Committee. The Chancellor's decision is final and not further appealable~~

[111.02 Review of Complaints](#)

The Academic Staff Hearing and Appeals Committee (ASHAC) will serve as the investigating and hearing body for complaints against Academic Staff. If a complaint is filed with ASHAC against an academic staff member, ASHAC will first review the complaint to determine whether the alleged conduct is a violation of university rules and policies or adversely affects the staff member's performance and obligations to the university. If the review results in a negative finding, the complaint will be rejected.

ASHAC will then determine whether all or part of the complaint would be handled more appropriately by another department or individual at UWM and, if so, refer the complaint. For example:

- UWM's Code of Conduct (S-65) provides that violations of the Code of Conduct should first be reported to the employee's direct supervisor, department chair, or department head as appropriate.
- Complaints involving allegations of discrimination, consensual relationships, sexual violence, and/or sexual assault should be referred consistent with UWM's Discriminatory Conduct and Consensual Relationships Policy (S-47) and Sexual Violence and Sexual Harassment Policy (S-78).

ASHAC will inform the complainant of the date of the initial review within 10 working days of receipt. ASHAC will also inform the complainant of the results within 10 working days of the initial review.

111.03 Investigation and Hearing of Complaints

If ASHAC does not otherwise refer or reject a complaint, ASHAC will inform the Academic Staff Member who is the subject of the complaint that the complaint has been accepted and encourage both parties to first seek to resolve the complaint informally, including through UWM's Office of Conflict Resolution.

If informal resolution cannot be achieved, ASHAC will proceed to initial information gathering and hold a prehearing meeting consistent with ASHAC's Process and Procedures for Appeals/Grievances/Complaints.

ASHAC will move to its formal hearing process consistent with ASHAC's Hearing Protocol.

Within 10 working days of the conclusion of the formal hearing process, ASHAC will propose a resolution/decision in writing to the complainant and the relevant Academic Staff Member who is the subject of the complaint. If either party disagrees with the suggested resolution and/or does not believe that the complaint has been resolved, they must indicate this to ASHAC in writing within 10 working days of receipt of ASHAC's proposed resolution.

In such case, ASHAC will forward its recommendations to the Chancellor. The Chancellor's decision on the complaint is final and not appealable.

At any point, informal resolution of the complaint is possible.

*University of Wisconsin-Milwaukee
Academic Staff Personnel Policies and Procedures*

**Chapter 111
Complaints**

- 111.01 Definition
- 111.02 Review of Complaints
- 111.03 Investigation and Hearing of Complaints

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