

Revisions to Academic Staff Personnel Policies and Procedures Chapter 111: Complaints. The ASC recommended changes to Chapter 111, 111.02 for clarity and to update the SAAPs numbers. At the request of the Academic Staff Committee, the Academic Staff Codification Committee reviewed proposed changes and approved as presented.

Tracked Version

**CHAPTER 111
COMPLAINTS**

- 111.01 Definition
- 111.02 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 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 does not find the conduct violates university rules and policies or adversely affects the staff member’s performance and obligations to the university, 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 (~~SAAP 7-3~~) 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 (~~SAAP 5-1~~) and Sexual Violence and Sexual Harassment Policy (~~SAAP 5-2~~).

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.

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| [\(AS Doc 123, 02/20\)](#)

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 then 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.

(AS Doc. 120, 9/2019)

Clean Version

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