Complaint Procedures

Background

- The Higher Learning Commission’s Assumed Practices (A.4) requires that “The institution provides clear information regarding its procedures for receiving complaints and grievances from students and other constituencies, responds to them in a timely manner, and analyzes them to improve its processes.”

Complaint and Related Definitions:

- **Informal Complaints**: A complaint is classified as an “informal complaint” unless it is filed using an official complaint form and process. Wherever practical (e.g. when safety or other considerations allow), informal resolution of complaints is encouraged.
- **Some informal complaints** have to be turned into formal complaints regardless of the intent of the person making the complaint. Complaints that meet this threshold will be classified as formal complaints.
- **Formal Complaints**: Only written complaints using an approved complaint form will be accepted as official, formal complaints.
- **Unit**: A unit refers to an entity where people are involved in essentially the same tasks and usually report to a supervisor. Examples include but are not limited to Falcon Athletics (not HHP), the College of Education and Professional Studies, Grounds Maintenance, the Honors Program, the Library, Intramural Sports, Faculty Senate, Admissions, Accounting Services, and so on.

Complaint Review Committee

- The Complaint Review Committee will consist of the Assistant Chancellor for Administration and Finance, or designee; the Provost, or designee; and the Assistant Chancellor for Student Affairs, or designee. The Provost, or designee, will chair the Complaint Review Committee.
- **Responsibilities**
  - Review the data, identify patterns, and consider possible recommendations.
  - Based on the preceding information, send a report, including recommendations if merited, to the Chancellor annually (approximately April 1 each year).

Policy Requirements:

- Each unit will develop and maintain both informal and formal complaint processes.
  - Where appropriate, units will follow standardized processes.
  - The unit will use a standardized form for formal complaints. This form must be available on the unit’s website.
  - The unit will clearly identify the processes that must be followed to file both informal and formal complaints, and any related steps and/or requirements.
  - Each unit will articulate clearly that an informal complaint is only accepted if it follows the appropriate processes.
  - Each unit will articulate clearly that a formal complaint is only accepted if it uses the appropriate form and follows the appropriate processes.
  - Each unit’s complaint processes will be consistent with federal, state, system, and university policies and/or laws.
  - Each unit will track information related to formal complaints in a manner consistent with university requirements (i.e. using formal student complaint log requirements).
  - Anonymous complaints will be filed for informational purposes. The status will be defined as “anonymous.”
  - Unit processes will reference the UW-System’s complaint process: [https://www.wisconsin.edu/student-complaints/](https://www.wisconsin.edu/student-complaints/).
Each unit’s informal and formal complaint processes must be approved by the head of the division in which it is housed (or by the Executive Assistant to the Chancellor for the admissions, athletic, and facilities management units).

Annual Processes

Each unit will forward the formal student complaint log requirements to the Executive Assistant to the Provost on an annual basis (each February 1). The complaint log requirements include the following, which will be reported using a standardized excel spreadsheet:

<table>
<thead>
<tr>
<th>Status</th>
<th>Family Name</th>
<th>First Name</th>
<th>E-mail</th>
<th>Telephone</th>
</tr>
</thead>
<tbody>
<tr>
<td>Location</td>
<td>Date</td>
<td>Description</td>
<td>Unit</td>
<td>Sub-Unit</td>
</tr>
<tr>
<td>Sub-sub-Unit</td>
<td>Complainee</td>
<td>Action Taken</td>
<td>Resolution/Status</td>
<td>Resolution Date</td>
</tr>
</tbody>
</table>

The Executive Assistant to the Provost will place the formal complaints into a standardized log, collate the data, and forward the information to the Complaint Review Committee, removing identifying information (e.g. the name of the person filing the complaint).

The Complaint Review Committee will:
- review the data, identify patterns, and consider possible recommendations.
- based on the preceding information, send a report, including recommendations if merited, to the Chancellor annually (approximately April 1 each year).

The Chancellor will make formal recommendations and/or decisions if and as needed.