

SAP 32.01.01.T0.01 Complaint and Appeal Procedures for Faculty Members



Effective: June 13, 2012
Revised: July 31, 2019
Next Scheduled Review: July 31, 2024

Procedure Statement

In conjunction with System Regulation 32.01.01, *Complaint and Appeal Procedures for Faculty Members*, this Standard Administrative Procedure (SAP) establishes complaint processes available to all members of the faculty at Tarleton State University.

Reason for Procedure

System Regulation 32.01.01, *Complaint and Appeal Procedures for Faculty Members*, requires each of its academic institutions to establish a published process(es) for handling of complaints that cannot be resolved under System Regulation 32.01.01.

Procedures and Responsibilities

1. GENERAL

Tarleton State University shall promptly investigate and resolve faculty complaints and concerns. The faculty complaint procedure will be maintained as confidential, subject only to the need of the complainant and the university to comply with the processes specified below. Faculty and administrators at all levels should strive to maintain open lines of communication with peers, supervisors and subordinates. In so doing, most problems can be resolved informally by mutual consent before reaching the formal complaint stage.

2. COMPLAINT RESOLUTION

System Policy 08.01, *Civil Rights Protections and Compliance*, System Regulation 08.01.01, *Civil Rights Compliance*, Tarleton Rule 08.01.01.T1, *Civil Rights Compliance*, and System Policy 12.01, *Academic Freedom, Responsibility and Tenure*, contain provisions for resolution of complaints including, but not limited to, those related to discrimination, academic tenure, non-renewal or non-reappointment, dismissal for cause, or reduction in force. This procedure applies only to resolution of complaints when processes are not specifically established elsewhere.

If complaints cannot be resolved by mutual consent, the faculty member may elect to pursue a resolution through the formal complaint process that follows.

- 2.1 The faculty member begins the formal complaint process by filing a signed, written formal complaint form with the department head. A formal complaint form is available online from the [Employee Services Forms webpage](#). If the department head has considered the complaint through an informal process, or the department head is party to the complaint, the formal complaint should be filed with the dean. The faculty member must describe the nature of the complaint and a resolution the faculty member hopes to achieve by filing the complaint. Copies of the completed form must also be provided to the director of employee services. The reviewer has **ten (10) working days** from the receipt to review the complaint and provide a written response back to the faculty member and the director of employee services.
- 2.2 If the department head's response is not satisfactory to the faculty member, the faculty member has **ten (10) working days** from the receipt of the response to forward the written complaint to the appropriate dean. Complaints presented after the 10th business day will be denied as untimely. The dean has **ten (10) working days** to review the complaint and provide a written response to the faculty member and director of employee services. If the dean is party to the complaint, the faculty member should file a formal complaint directly with the provost or designee with a copy provided to the director of employee services.
- 2.3 If the dean's response is not satisfactory to the faculty member, the faculty member has **ten (10) working days** from the receipt of the response to forward the written complaint to the provost. Complaints presented after the 10th business day will be denied as untimely. The provost will determine if an ad hoc University Grievance Committee (committee) will be formed to review the complaint. If so, the provost will convene the committee to review the complaint and all subsequent responses and forward a statement of its conclusions and recommendations to the provost within **forty-five (45) calendar days** of the receipt of the complaint. A copy will also be sent to the director of employee services.
- 2.4 The provost may conduct further inquiry, may remand the complaint to the committee for further consideration and/or may accept, reject, or modify the conclusion and recommendations of the committee's report. The provost will forward a written decision to the faculty member within **ten (10) working days** of the receipt of the committee's report. A copy will also be provided to the director of employee services. The decision of the provost is final and will be considered the last step in the university's formal complaint procedure for faculty.
- 2.5 Administrators are expected to promptly review and respond to complaints within the described timeframes. However, if an administrator requires additional time to effectively review a complaint, the administrator may extend their timeline up to **ten (10) additional working days**. This allowance is available to the committee as well. The administrator must communicate the extension in writing to the complainant and the director of employee services. Failure to communicate extensions or failure to respond by the expected timeframes may be cause for a separate complaint.

2.6 If desired, mediation can be made available at any point in the complaint process.

Related Statutes, Policies, or Requirements

[System Policy 08.01, *Civil Rights Protections and Compliance*](#)

[System Regulation 08.01.01, *Civil Rights Compliance*](#)

[Tarleton Rule 08.01.01, *Civil Rights Compliance*](#)

[System Policy 12.01, *Academic Freedom, Responsibility and Tenure*](#)

[System Regulation 32.01.01 *Complaint and Appeal Procedures for Faculty Members*](#)

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