Title: Policy on Institutional Records for Student Complaints

Date Approved: March 2014

Effective Date: March 2014

Date of Last Review: March 2014

Relates to: Administrators, Faculty, Students

1) Each School/College will maintain a log of complaints it receives from students, as well as logs of complaints raised against students, provided that the complaint qualifies for being recorded.

2) Complaints that fall into certain categories (e.g., sexual misconduct, research misconduct, discrimination, harassment, academic integrity, etc.) must be logged. Complaints that are handled by a high-level university official (e.g., assistant/vice dean or higher) should also be logged regardless of the nature of the complaint.

3) Utilize the processes shown in the appended flowcharts for deciding whether and where a complaint received within the Schools/College should be logged. Note that one decision flowchart pertains to complaints initiated by students, while the other describes the logging decision process for complaints against students. Note also that the Schools/College (and central offices) are expected to continue to use its normal practices to investigate and address the complaint, independent of whether the complaint is to be logged or not.

4) The types of information recorded to be recorded in official logs should be standardized across the Schools/College. The School/College logs should be made accessible to the central administration, if requested.

5) Excel spreadsheets should be the standard file type for student complaint logs (see attached template with examples).

Instructions:
a. A numbering scheme in the format year-index (e.g., 2014-01, 2014-02) should be used. Logs should be maintained on a calendar-year basis.
b. Schools are expected to keep full files on each complaint that appears in the log.
Logging Decision Process
for Complaints from Students, Received within Schools
March 2014

Start

Does the complaint fall into any of these categories?
Sexual misconduct
Research misconduct
Discrimination

Yes

Has the student's complaint been received in writing, or has it been recorded in writing by the recipient?

No

Does the complaint fall into any of these categories?
Academic integrity
Student privacy (FERPA)
Harassment
Health and safety
Academic grievances related to courses or grading
Non-academic grievances against faculty or staff members

Yes

Does the school utilize a central office (e.g., Student Affairs, Undergraduate Studies, or Graduate Studies) or a central committee (e.g., TABIT) to address the complaint?

No

Complaint is addressed within the school

Yes

Follow both paths out

Refer complaint to the relevant central office for follow-up

No

Record the complaint in a school-based complaint log

Does the school involve an assistant/vice dean or higher to address the complaint?

No

Complaint is recorded in one of the central complaint logs

Yes

Does the school utilize a central office (e.g., Student Affairs, Undergraduate Studies, or Graduate Studies) or a central committee (e.g., TABIT) to address the complaint?

No

Complaint is not recorded in any complaint log

Yes

Record the complaint in a school-based complaint log

Follow both paths out
<table>
<thead>
<tr>
<th>Log Number</th>
<th>Person Receiving Complaint &amp; Date</th>
<th>Name of Student Filing Complaint</th>
<th>Brief Description of Complaint</th>
<th>Person/Office Assigned to Address Complaint</th>
<th>Outcome or Resolution</th>
<th>Date Student Notified</th>
<th>Date Student Notified</th>
<th>Follow-Up and Corrective Action(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>2014-01</td>
<td>Dean J. Appleseed 1/15/2014</td>
<td>Wood, Grant</td>
<td>Grade grievance against Prof. O. MacDonald</td>
<td>Dean Appleseed</td>
<td>Original grade upheld</td>
<td>February 14, 2014</td>
<td>None needed</td>
<td></td>
</tr>
</tbody>
</table>