

## **Protocol 1041 Predoctoral Researchers' Complaints**

**Protocol Number: 1041**

**Effective Date: 10/15/18**

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### **Protocol**

GSSIMR acknowledges on occasion predoctoral researchers will have concerns or issues that rise to the level of complaint. Once a concern or issue rises to the level of complaint, it is documented and tracked in the Complaints Log. The Associate Dean for Administration and Registrar is in charge of entering predoctoral researchers' complaints into the log and tracking them for resolution. When a complaint is determined, the subsequent steps are followed:

**1. Receive Concern or Issue**

A concern is shared by a predoctoral researcher with a GSSIMR staff member or Human Resources Officer.

**2. Assessment of Concern or Issue**

An assessment is conducted by the person who received the concern who may consult with other GSSIMR staff members and/or Human Resources Officer. The goal of the assessment is to determine if the concern or issue rises to the level of formal complaint. During the assessment, GSSIMR staff:

- a. Takes the original report into consideration.
- b. Reviews any available previously reported concerns and other known information.

**3. Determine Level of Concern or Issue**

The GSSIMR staff member who received the concern consults with the Dean to determine if the concern or issue rises to the level of a formal complaint. In order to be considered a formal complaint the concern or issue must:

- a. Not be able to be addressed by other policies or protocols
- b. Involve more than one department or area within GSSIMR, SIMR, and/or SRM
- c. Have the potential to impact one or more predoctoral researcher
- d. Be serious in nature

**4. Logging the Formal Complaint**

Once a formal complaint is determined, the Associate Dean for Administration and Registrar logs the complaint into the Complaints Log and updates it as information is available. The following information is included:

- a. Summary of the complaint
- b. Solution sought
- c. Communication with the predoctoral researcher
- d. Outcomes/Actions
- e. Closed date

5. Addressing the Formal Complaint

When a formal complaint is logged, a Primary Person relevant to the complaint will be designated by the Dean. The Primary Person will lead the efforts to find a solution to the complaint and any resulting outcomes/actions, communicate with the predoctoral researcher, and provide updates to the Associate Dean for Administration and Registrar for the Complaints Log. Time to resolve complaints will vary depending on the nature of a complaint.

6. Addressing the Concern or Issue

If the concern or issue does not rise to the level of a formal complaint it is addressed by Protocol 1040, "Addressing Concerns Regarding Predoctoral Researchers."