32.01.02.C0.01 Complaint and Appeal Process for Non-Faculty Employees

Revised: March 23, 2026
Next Scheduled Review: June 17, 2029
Revision History

Procedure Summary

This procedure outlines the non-civil rights complaint resolution process for non-faculty employees (including student employees) of Texas A&M University-Corpus Christi (TAMU-CC), including appeals of employment action, discipline, or dismissal.

Procedure

1. COMPLAINT PROCESS

1.1. Many problems can be resolved through informal discussions between the employee and the immediate supervisor, department head, or Compliance Services. Supervisors should maintain documentation of discussions and/or actions taken. Although an employee is encouraged to resolve a complaint informally, they may file a formal complaint without first seeking an informal resolution.

1.2. In accordance with the Texas A&M University System (TAMUS) policies and regulations, an employee may file a complaint via the EthicsPoint Risk, Fraud, and Misconduct Hotline (https://secure.ethicspoint.com/domain/media/en/gui/19681/index.html). Complaints filed via EthicsPoint can be made anonymously. An employee may also file a complaint in person with Compliance Services or the Chief Ethics & Compliance Officer (CECO). Complaints should be filed within seven (7) business days of the action that caused the complaint. A complaint filed later than seven (7) business days after the action that caused the complaint may be deemed untimely and may be dismissed.

1.3. EthicsPoint is managed by the TAMUS Ethics and Compliance Office (SECO). SECO will review each complaint to determine if it will be referred to TAMU-CC or if TAMUS will conduct its own investigation. Complaints referred to TAMU-CC will be coordinated by the CECO.

1.4. A copy of the complaint, whether filed online or in person, will be maintained in EthicsPoint. Compliance Services or the CECO will forward copies to the respondent(s), complainant's and respondent(s)'s supervisor(s) and department head(s), and the administrator designated to review the complaint within five (5) business days. The vice president over the division in which the respondent is located will either serve as the designated administrator or appoint a designated administrator as appropriate. If the complainant or respondent is the vice president for that division or the university President/CEO, SECO is responsible for coordinating the review of the complaint.

1.5. In consultation with the Compliance Services and/or the CECO, the designated administrator will review the complaint to determine if an investigation is necessary.

1.5.1. If no investigation is necessary (e.g., the facts are not in dispute or, if in dispute, do not rise to an actionable violation of policy, regulation, rule, or procedure), the designated administrator will issue a decision.

1.5.2. If an investigation is necessary, the designated administrator may either assign the complaint to Compliance Services for investigation or review the complaint directly. The designated administrator/Compliance Services may consult with TAMUS Office of General Counsel and, if appropriate, other internal offices or external groups (e.g., TAMUS member, SECO, or CECO) with the President's approval.

1.5.2.1. In cases where Compliance Services investigates the complaint, the designated administrator will review the Compliance Services investigation report and will provide a written decision including copies of relevant documents and any physical evidence considered to Compliance Services or the CECO within fifteen (15) business days of the designated administrator's receipt of the complaint. If additional time is needed for the investigation by Compliance Services, an extension up to an additional fifteen (15) business days is authorized. Compliance Services or the CECO will notify the complainant, supervisor, and the department head of the approved extension.

1.5.2.2. In cases where the designated administrator reviews the complaint directly, the designated administrator will provide a written decision including copies of relevant documents and any physical evidence considered to Compliance Services or the CECO within fifteen (15) business days of the designated

administrator's receipt of the complaint. If additional time is needed for the designated administrator's investigation, an extension up to an additional fifteen (15) business days is authorized. Compliance Services or the CECO will notify the complainant, supervisor, and the department head of the approved extension.

1.5.3. All documentation pertaining to the complaint, including reports and exhibits, will be stored in EthicsPoint.

1.6. Whether an investigation was conducted or not, Compliance Services or the CECO will provide the written decision to the complainant, respondent(s), and the complainant's and respondent(s)'s supervisor(s) and department head(s) within five (5) business days of receiving the decision. This will be the final decision regarding the complaint.

1.7. All employees must, and students should, cooperate fully with those performing an investigation pursuant to this procedure. Employees failing to cooperate with those performing an investigation may be disciplined, up to and including dismissal.

1.8. Any retaliatory action taken against an employee for participating in the processes established by this procedure, including filing a complaint, is prohibited. In accordance with system regulation *32.01.02, Complaint and Appeal Process for Nonfaculty Employees,* the filing of a complaint, however, will not restrict supervisors from taking appropriate employment action.

2. CAMPUS COMPLIANCE AND ETHICS COMPLAINTS

Complaints concerning university compliance and/or ethics issues that are not addressed in other university or system forums are assigned for investigation by TAMU-CC's CECO. These investigations will follow section 1 of this procedure as appropriate.

3. COMPLAINTS NOT COVERED BY THIS PROCEDURE

3.1. Civil rights complaints must be filed in accordance with system regulation *08.01.01, Civil Rights Compliance* and university rule *08.01.01.C1, Civil Rights Compliance*.

3.2. Faculty non-civil rights complaints are addressed in university procedure *32.01.01.C0.01, Complaint and Appeal Process for Faculty Members*.

3.3. Student non-civil rights complaints against employees are addressed in university procedure *13.02.99.C0.01, Student Complaints Regarding Employees*.

3.4. Student complaints regarding other students that are not related to civil rights are resolved through the Student Conduct & Advocacy.

3.5. Non-civil rights complaints filed against university police officers are handled by the Chief of the University Police Department in accordance with sections 614.022 and 614.023 of the Texas Government Code. Any false complaints against a police officer are subject to prosecution.

4. TRAINING, EDUCATION, & INFORMATION

Information regarding this procedure will be provided by Compliance Services to employees at new employee orientations and on the TAMU-CC website. Additionally, periodic training will be provided to supervisors in management and professional development programs.

5. MONITORING & COMPLIANCE REVIEW

Compliance Services will monitor the implementation of this procedure and provide periodic reports to President's Cabinet on the number and nature of complaints, actions taken to resolve complaints, and systemic trends.

Related Statutes, Policies, or Requirements

Texas Government Code, Chapter 614
Texas Government Code, Chapter 617
System Regulation *08.01.01, Civil Rights Compliance*
System Policy *10.02, Control of Fraud, Waste, and Abuse*
System Regulation *32.01.01, Complaint and Appeal Procedures for Faculty Members*
System Regulation *32.01.02, Complaint and Appeal Process for Nonfaculty Employees*
System Policy *32.02, Discipline and Dismissal of Employees*
University Rule *08.01.01.C1, Civil Rights Compliance*
University Procedure *13.02.99.C0.01, Student Complaints Regarding Employees*
University Procedure *32.01.01.C0.01, Complaint and Appeal Process for Faculty Members*

Contact Office

Contact for clarification and interpretation: Compliance Services
361.825.5826