Office of the Ombuds
University of California, Santa Barbara

2008-2009
Annual Report

Priscilla Mori
Campus Ombuds

I. ROLE OF THE OFFICE OF THE OMBUDS

A. Mission Statement

The Office of the Ombuds is a *confidential*, *impartial*, *informal*, and *independent* resource for conflict prevention, management, and resolution that serves all members of the UCSB community, including faculty, staff, and students. The Office assists those who seek guidance with the resolution of academic or administrative issues and disputes that are not being adequately addressed through other University procedures. It is a safe, confidential, and impartial place to express concerns.

The Office advocates for fairness and works to ensure that all members of the University community receive equitable treatment. The Office serves the campus community by helping to resolve complaints, by providing information and referrals, and by making recommendations for constructive change when University policies or procedures generate conflicts or concerns. The Office adheres to professional standards of practice to create an environment where members of the UCSB community can obtain information, review options, and resolve problems. The Office is also committed to facilitating campus-wide conflict management with an emphasis on conflict prevention.

B. Standards of Practice

The Office seeks to accomplish its mission by applying four core tenets: independence, impartiality, informality and confidentiality. These are standards of practice established by the International Ombudsman Association (IOA).

Independence: The Office is independent. To ensure objectivity, it operates independently of usual administrative authorities. The Office reports to the Executive Vice Chancellor for administrative and budgetary purposes only, but not regarding the substance of matters discussed in the office.

Impartiality: The Office is impartial. The staff will not take sides in any conflict, dispute, or issue, but will consider the interests and concerns of all parties involved with the aim of achieving a fair and equitable outcome. If the Ombuds believes a university policy or procedure is unfair, the Office will advocate for fairness.

Informality: The Office is informal. The staff facilitates communication when conflict arises and provides the opportunity for informal dispute resolution. The Office does not arbitrate, adjudicate, or participate in any internal or external formal process.

Confidentiality: The Office will maintain strict confidentiality to the extent permitted by the law; the only exception to this confidentiality is when the Office determines that an imminent threat of serious harm exists. It is not an office of official university notice about the existence of a problem.

II. 2008-2009 OVERVIEW

During this academic/fiscal year, we have continued to pursue our mission. We offer a resource for conflict management that serves all members of the UC Santa Barbara community, including faculty, staff, students, and anyone with a campus-related concern. We assist the campus community with the informal resolution of any University-related complaint or conflict by offering a safe and confidential place to discuss their issues and options for resolution. We have received support and feedback from an active Ombuds Advisory Committee. The Executive Vice Chancellor has also continued to provide support for our ongoing efforts.

A. Staffing

This year represented a period of stability, with positions filled and no new personnel. Bill Forgie served as Faculty Ombuds at 25% time from October 1 through June 30 and was primary Ombuds for 8% of our cases.

Kirsi Aulin as Associate Ombuds was primary ombuds for 22% of our cases. In addition, Kirsi participated with Lainie and Priscilla in providing training and presentations to the campus, as well as doing one presentation on her own about the resources the office provides. Kirsi also initiated and coordinated a new Ombuds Book Group, and facilitated a series of discussions on the book, *Ethics for the New Millennium* by the Dalai Lama. Kirsi was out on maternity leave for approximately three months during the spring and summer of 2009.

Lainie Pascall continued to serve as the Office Manager and Intake Coordinator; she very competently handles all the administrative responsibilities as well as doing intake by telephone and in person for the majority of our cases. Lainie was also the primary Ombuds on 15% of our cases. She provided training for Teaching Assistants on her own and made presentations and provided training with Kirsi and Priscilla on multiple occasions. Lainie also received a Staff Citation of Excellence award and completed the second year of a two-year program as part of the Division of Student Affairs' Professional Development Group.

Priscilla Mori served as Campus Ombuds, providing leadership and coordination services for the office. She served as the primary Ombuds for 55% of our cases. She provided training to campus groups alone and as part of a team with Kirsi and Lainie, and also represented the office at a number of presentations on campus.

B. Administrative Support

Lainie Pascall proactively provides administrative support of consistently high quality. Not only is she the person who most users of the office encounter first, but she also handles an administrative workload that, this year, included the following:

- Updated intake forms
- Updated statistics forms to conform with new IOA categories
- Updated user data sheet
- Redesigned and updated outreach materials, including brochure, bookmarks, and cards
- Updated our website and PowerPoint presentations
- Developed the plan for the Threat Management Team website, initiated a feedback tool about the site, made changes in the site plans in response to the feedback, and coordinated website development with web designer
- Coordinated visits of Ombuds staff to various campus locations

- Updated database
- Prepared statistical reports as needed
- Handled case intake for most of the 366 cases
- Served as primary Ombuds for 56 cases
- Provided travel arrangements for Ombuds training sessions and conference
- Coordinated arrangements for the Ombuds Advisory Committee and prepared meeting notes
- Completed financial transactions and maintained appropriate departmental documentation

C. Training/Professional Activities/Outreach

The level of training and related professional activities is essential in order for us to be informed and engaged, both in the Ombuds profession as well as in the campus community. It behooves us to be informed for the sake of the integrity of our own organization, and also to be aware of the broader issues that are of concern to visitors to our office.

1. Trainings Attended – On Campus

Date	Training	By Ombuds	# of Hours
08/06/08	First Aid & CPR Training	Kirsi Aulin	4
08/22/08	Basic Transformative Mediation Training	Kirsi Aulin, Bill Forgie	25
08/23/08	Leading Groups (Transformative Mediation)	Priscilla Mori	16
08/24/08	Transformative Mediation Master Class	Lainie Pascall	8
08/25/08	Transformative Mediation Conference	All Staff	16
10/10/08	Open Enrollment: Benefits	Lainie Pascall	2
12/08/08	Flexwork Program Workshop	Priscilla Mori	2
01/21/09	Ethics & Fraud in the Workplace (HR)	Kirsi Aulin	4
02/03/09	InDesign Training	Lainie Pascall	4
02/26/09	Restorative Justice Training (Housing)	Priscilla Mori, Kirsi Aulin	8
04/08/09	Web Design Standards	Lainie Pascall	2
5/28/2009	Accountability and Quality in Higher Education	Priscilla Mori	6

2. Trainings Attended – Off Campus

Date	Reason/Destination	By Ombuds
8/22/2008	Transformative Mediation Pre-Conference	All Staff
8/25/2008	Transformative Mediation Conference	All Staff
10/13/2008	UC Ombuds Meeting (Irvine)	Priscilla Mori, Bill Forgie, Kirsi Aulin
10/20/2008	UC Business Officer Institute (BOI)	Kirsi Aulin
3/2/2009	Hosted UC Ombuds Meeting (here - UCSB)	All Staff
4/16/2009	IOA Conference (Montreal, Canada)	Priscilla Mori, Bill Forgie

3. Training Provided

The staff provided training sessions on nine different occasions this year; preparation and presentation time for these combined was approximately 50 hours. Although many of these sessions were confidential in nature, the scope of topics included communication, conflict, leadership, ethics, and violence in the workplace. The staff made thirteen additional presentations on campus describing the role of the Office of the Ombuds for faculty, staff, and students. Often as a result of these training sessions and presentations, individuals learned of the services of our office and utilized them on an individual basis.

4. Outreach

We have taken a multi-pronged approach to outreach. We describe our services and invite individuals to use and refer others to them. In addition to the various training sessions described above, we have:

- sent personal letters to individuals on campus who refer faculty, staff, and students to our services
- met personally with campus administrators, with particular efforts to reach out to those new to their roles
- provided material in new staff orientation trainings
- made presentations to new student orientation staff, resident assistants, and resident directors
- published an article directed to parents in the OSL Parent Newsletter
- made presentations to new chairs and faculty
- provided contact information in General Catalog and quarterly Schedule of Classes
- maintained and updated our website with an array of information and resources

D. University Service/Committees

Priscilla Mori

- Sustaining Community and Preventing Violence Policy Workgroup
- Financial Aid Advisory Committee
- Threat Management Team
- Consultation Support Group
- Student Resource Group
- Campus Emergency Planning Committee
- Transformative Mediation Conference Host Committee
- HR Mentorship Program Planning Team
- Advisory Team for Housing ADR Office
- Ombuds Book Group
- Restorative Justice Facilitators Group

Kirsi Aulin

- Cottage Hospital Grand Rounds
- Ombuds Book Group
- Restorative Justice Facilitators Group

Lainie Pascall

- Professional Development Group (Student Affairs)

- Transformative Mediation Conference Host Committee
- TMT Website Development Project

E. Office Location

The Office has been located in 1205-K Girvetz Hall since May 2005. This location is a four-room suite of offices, including a conference room that has also served as an office for Bill Forgie. This central campus location is ideal; it is accessible for most campus members, yet fairly private.

We have continued to use the "white noise" system to deal with acoustic issues related to confidentiality. It provides the necessary privacy enhancement that allows us to maintain our standard of confidentiality in a limited amount of space.

Space continues to be a challenge when we are dealing with groups of multiple users. Two of our offices are adequate for one-on-one meetings, but often we have groups that meet with us. A more ideal situation would be one in which we have a separate space for the Faculty Ombuds and a separate space for intake sessions that are often long and involved and need to be conducted in a private space. We hope to augment our space in the future.

F. Professional Affiliation

The International Ombudsman Association (IOA) is the professional organization of which we are members as Ombuds on our campus. This organization provides professional affiliation and training opportunities as well as ongoing discussions on challenging topics relevant to the profession. Our office operates consistent with the IOA standards of practice, including the tenets of confidentiality, informality, independence, and impartiality. Our credibility as an office and as members of the profession is tied directly to adhering to these tenets tenaciously. In April 2009, Priscilla and Bill attended the annual meeting of the IOA in Montreal.

The UC system-wide Ombuds group has been active during this year in ongoing conversations, emails, and meetings. The group met together physically twice during the year, once in Irvine and once in Santa Barbara (hosted by the UCSB Office of the Ombuds.) The members have provided ongoing advice and support to one another, and have used one another as resources for multiple issues, sometimes one-on-one, and sometimes in the larger group setting. This year we discussed the value of establishing Ombuds Charters for each campus. We plan to propose such a document for our campus in 2009/10. In addition to outlining the role of the office on campus, the document will represent the campus's commitment to the office and will make explicit the expectation that members of the campus community cooperate with the efforts of the Ombuds.

All members of our office participated in a Transformative Mediation Conference entitled "New Waves of Transformative Practice" presented by The Institute for the Study of Conflict Transformation, held on the UCSB campus in August 2008. In addition to conference sessions, all four of us attended pre-conference sessions; topics included mediation (Bill and Kirsi) and advanced mediation skills (Lainie) and group facilitation skills (Priscilla). Priscilla also co-presented a break-out session at the conference on Restorative Justice.

In addition, Kirsi is continuing to maintain her status as a Licensed Marriage and Family Therapist by fulfilling the standards and requirements of the California Board of Behavioral Sciences.

G. Ombuds Advisory Committee

The Ombuds Advisory Committee met three times in the course of the academic year. The Executive Vice Chancellor appoints the members of this campus committee. Committee members' terms of service are established with the possibility of individuals serving two consecutive terms and are staggered to ensure continuity. The undergraduate student representative each year is the Goodspeed intern, an internship coordinated by the Vice Chancellor for Student Affairs.

The committee has two main functions:
- To act as a sounding board and advisor to the Office in regard to such matters as the Annual Report and its distribution, promotion and marketing of the office, hiring of staff, additional duties, professional development plans, and the annual budget;
- To receive and respond to comments or complaints about the Office and to convene the committee should such concerns arise.

The appointed members for 2008-09:
- Grace Anderson, Graduate Student Representative
- Clay Carlson, Undergraduate Student Representative
- Nancy Collins, Faculty Representative and Chair
- Robin Rogers, Staff Representative
- Candace Stevenson, Staff Representative
- Andre Wyss, Faculty Representative

Ex-officio members during 2008-09:
- Kirsi Aulin, Associate Ombuds
- Bill Forgie, Faculty Ombuds
- Priscilla Mori, Campus Ombuds
- Lainie Pascall, Office Manager and Intake Coordinator

H. Other Campus Issues

Over the course of the year, Priscilla contributed a significant amount of time and effort to the development of the Threat Management Team (TMT) and the development and review of the policy entitled "Sustaining Community and Preventing Violence" on campus. Together with other campus staff members, including John Berberet, Burt Romotsky, and Carolyn Buford, Priscilla participated in a process to define the scope of the role of TMT and, with the help of Meta Clow, drafted the revised policy that was distributed to the UCSB campus for input and review during this year. Lainie has also been a key contributor in the process of developing a TMT website to go live in 2009 after the related policy has been approved.

III. CASES, CONTACTS, AND ISSUES

The Office of the Ombuds is a resource for all members of the UCSB campus community including faculty, staff, students, parents, researchers, and visitors.

In the course of the year, we handled 366 cases, which represents an increase of approximately 15% over 2007/08 and 60% over 2006/07. The timing of the cases in the quarter and months in the year approximately reflects that of previous years, but the peaks in numbers of cases in July, October, December, and April exceeded those since 2005/06. The ebb and flow of visitors during most of the academic year is predictable based on the academic calendar.

2008-2009 Case Totals by Month:

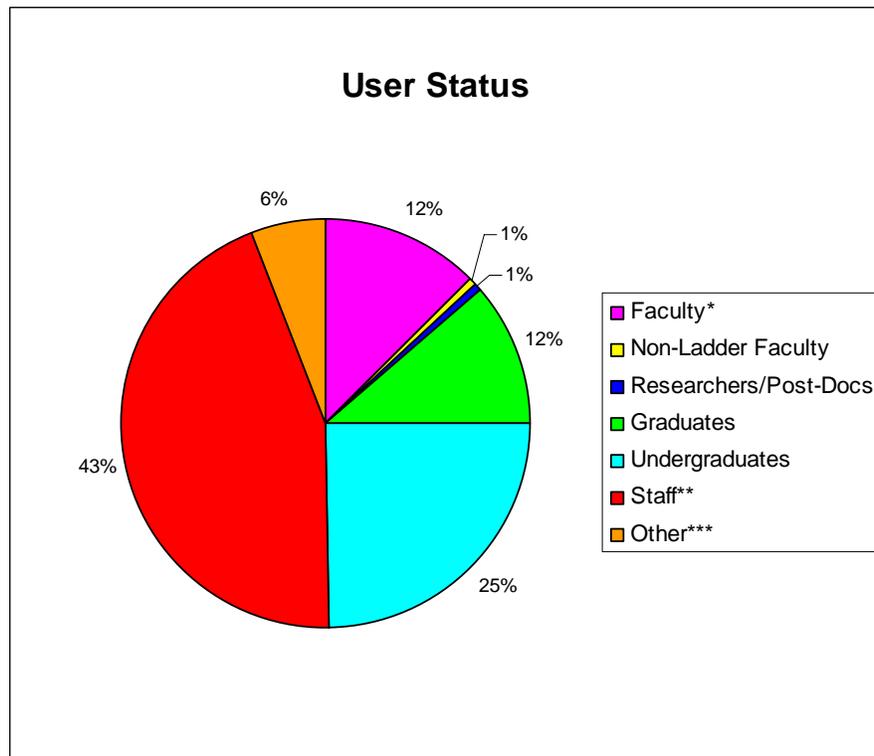| Month	
July	37
August	13
September	24
October	40
November	12
December	41
January	34
February	24
March	34
April	40
May	30
June	37

# of Cases/Month for Last 4 Years
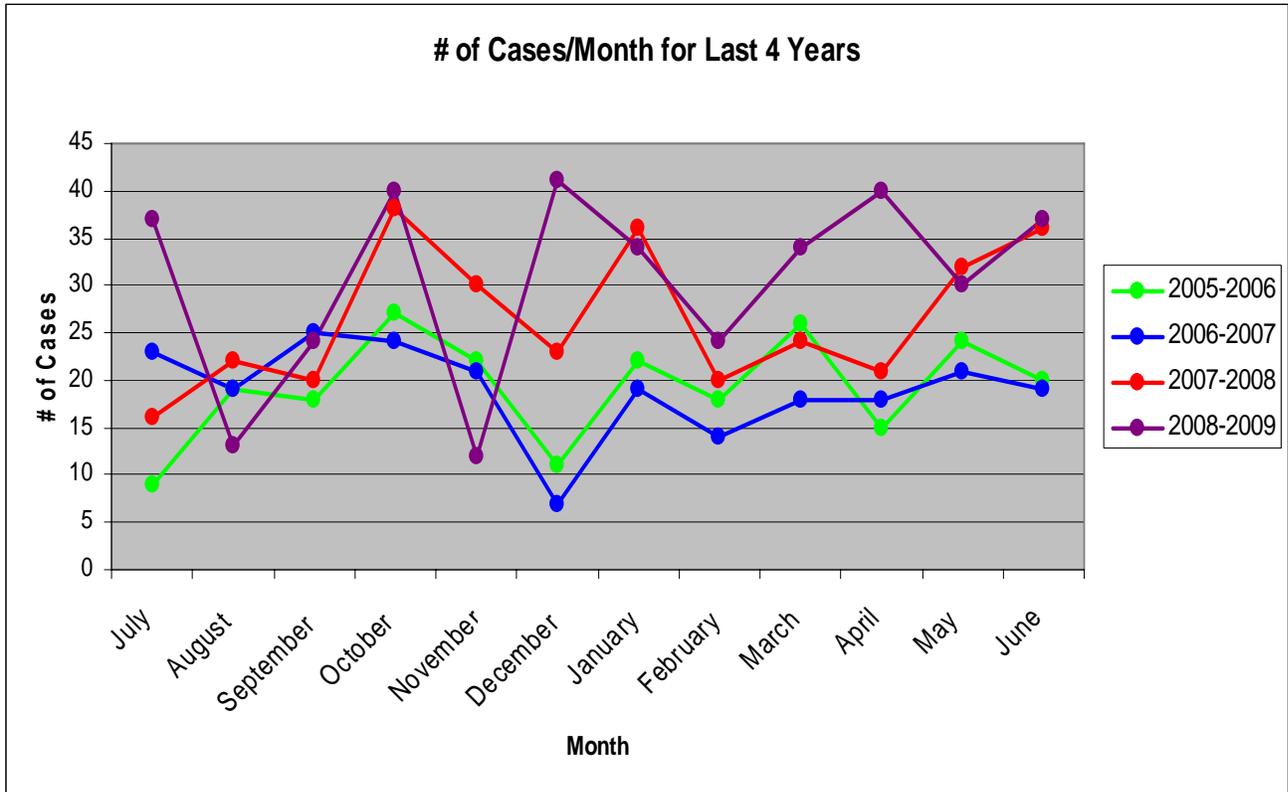
Staff members comprised 43% of our visitors, up slightly from 40% the previous year, although in raw numbers there were 154 staff cases this year and 126 staff cases last year.

Faculty (ladder and non-ladder) comprised 13% of our visitors, compared to 17% the previous year. In raw numbers, there were 45 faculty cases this year and 50 cases last year. Since "user status" is a reflection of the status of the visitor to the office, the statistics don't reflect cases in which a student, staff, or others may have been affected by a faculty member in some way. (We estimate that faculty members are directly or indirectly involved in approximately 50% of our cases.)

The researcher/post doc percentage of our visitors went from 2% in 2007/08 to 1% in 2008/09.

Student visitors this year amounted to 37% of our visitors, 25% being undergraduates and 12% graduate students. In the previous year student visitors represented 35% of our visitors, with 25% undergraduates and 10% graduate students. The mix of graduates and undergraduates has remained fairly constant over the last four years.

We classify a subset of visitors in what we have called the "other" category, which includes parents, community members, and other users of the office. The percentage of other users was 6% both this year and last year. Many of the visitors in this category find this office to be a resource when they do not find a natural fit in the services of other offices on campus. In that way, we fill a useful niche in the broad area of problem solving for the campus.

User Status

Legend:
- Faculty*
- Non-Ladder Faculty
- Researchers/Post-Docs
- Graduates
- Undergraduates
- Staff**
- Other***

* "*Faculty" includes Administrators and Department Chairs*
** "*Staff" includes Business Officers, Managers, and Supervisors*
*** "*Other" includes Parents, Community Members, Alumni, and other users of the Office*

We have tracked the self-reports of our visitors to determine how they heard about our office. (Since the self-reporting is optional and is typically only requested when visitors actually come into the office, we do not have this information for every visitor.) The numbers do reflect, however, that a significant number of individuals (44%) heard about us from other individuals on campus, i.e. they are referred to us by others. 17% knew about us from years of experience on campus or from personal knowledge of individuals here. Repeat users accounted for 10% of our visitors. Those who learned about us on the website were 4%. Another 4% learned about us from their parents; many of those parents learned about the office through the article we submitted for the Office of Student Life Parent Newsletter. Other individuals learned about us through presentations made on campus. We will continue to track this information, and we will also continue our broad-based efforts at publicity.

The complexity of cases is based on a combination of factors including risk level, impact on the organization or impact on others, perceived impact on the individual, and effort by the Ombuds. It is based on a judgment call made by the Ombuds who is primarily responsible for the case. Case complexity is rated on a 1-5 scale, with a "1" indicating a non-complex case and "5" rating an extremely complex case. The number of hours spent on each case is not necessarily comparable to the complexity of the case. We have found that the pattern of case complexity remains fairly constant over the years.
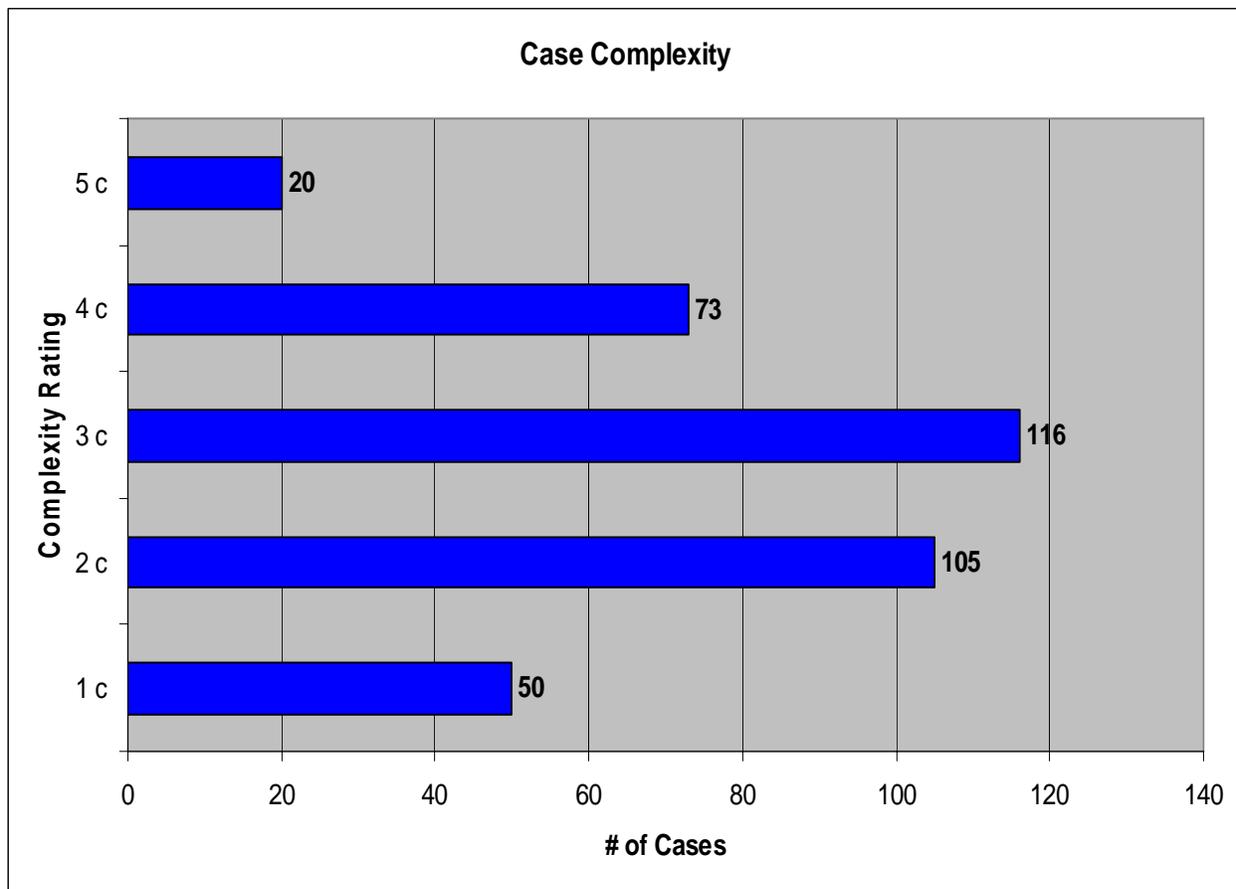
The pattern of the number of hours spent on cases is also fairly consistent over the years, with most cases needing about 1-3 hours of our time. Usually this involves one to two meetings or conversations. The spread, however, with 21% of the cases involving more than 3 hours, illustrates that a significant number of cases are not quickly or easily resolved.

of Hours Spent on Cases
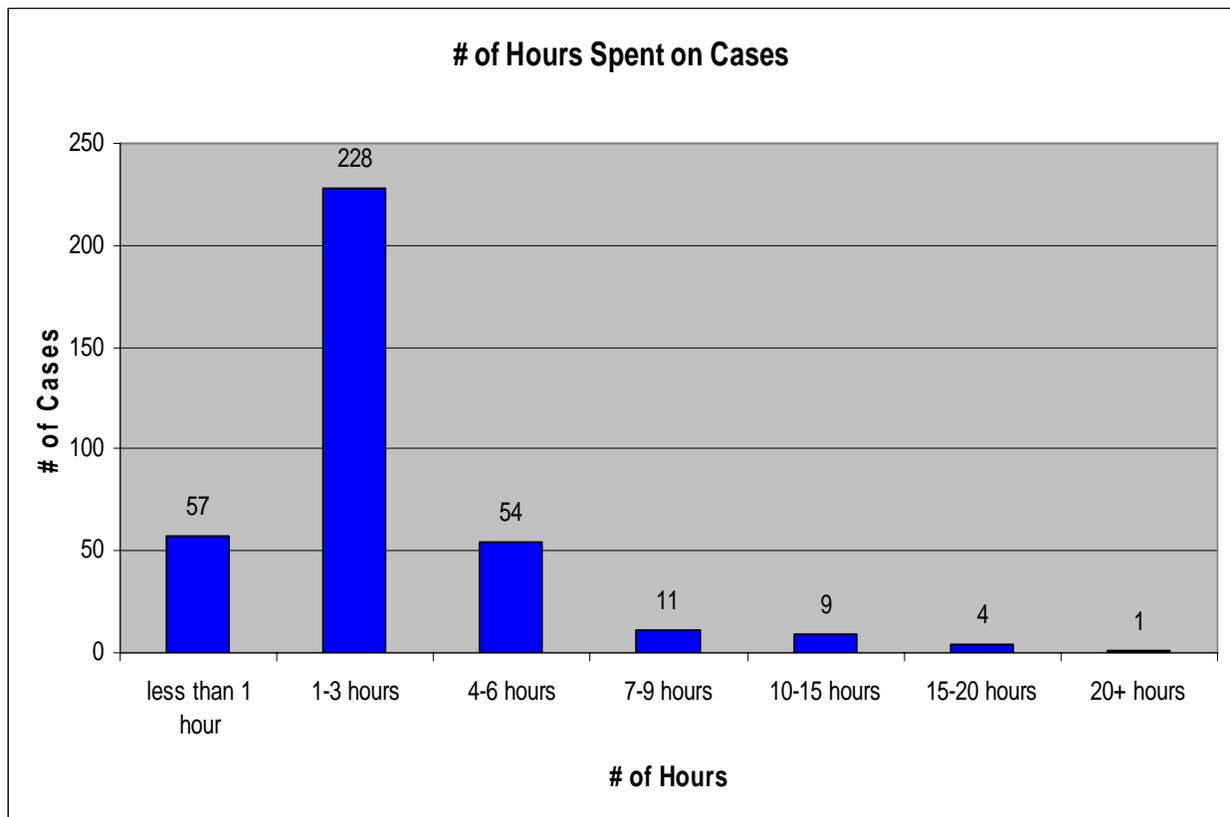
We encourage users of the office to contact us by phone rather than by email because confidentiality on email cannot be assured. So the vast majority of users contact us by phone or walk-in, but 5% of our visitors contacted us by email in the last year. This reflects the ease of use of email and the general acceptance of email as a mode of communication. We do not, however, advertise our email addresses on our website. We want to be available to walk-in visitors, but sometimes being available in this way presents challenges to dealing with individuals in a confidential way. Our space constraints do not always allow us to meet with walk-in visitors in a confidential space. Sometimes we can make arrangements for visitors to return at another time, but that is not always feasible. For some, particularly student visitors, the fact that we are accessible for walk-in visits, makes us an option for them as a resource when they need immediate help.

Contact Method by Users

5%

21%

74%

- Phone
- Walk-In
- Email
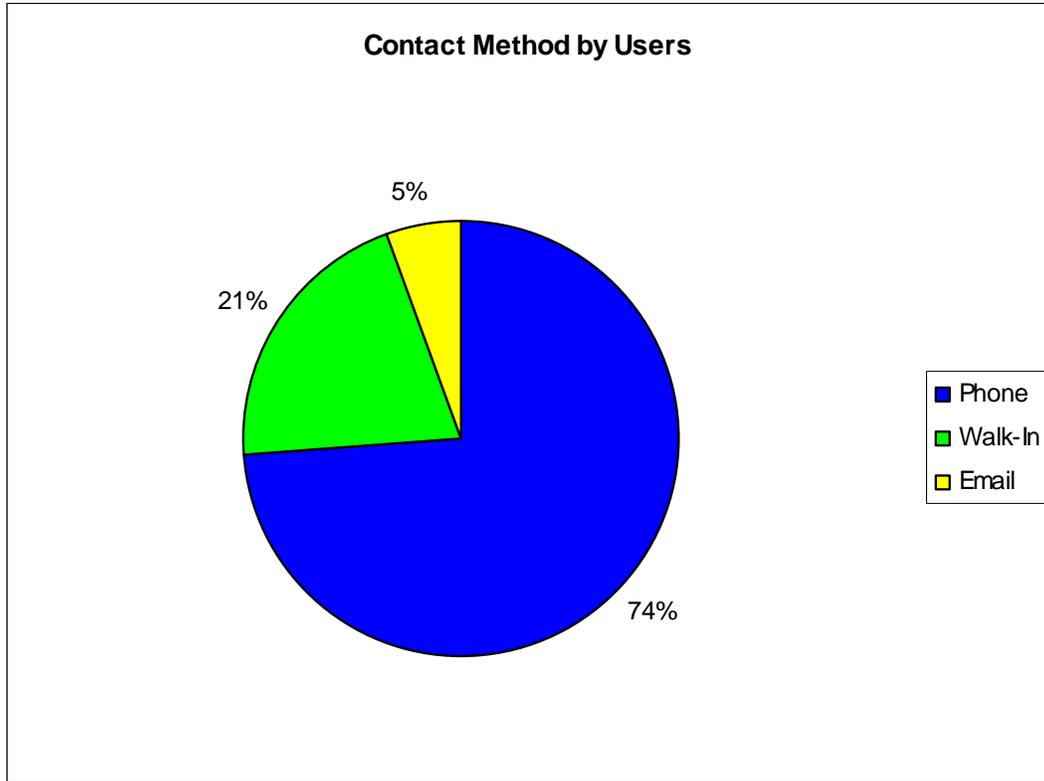
We have tracked the categories of concerns brought to the office in two different ways this year. We have continued the use of UCSB-specific categories that we have used in the past. We have also tracked concerns more broadly according to the categories recommended by the IOA. The results, as one might expect, are not in contrast with each other, but the IOA categories allow us to break apart such issues according to the nature of the relationships of those involved. For example, we can track issues between colleagues or peers in different categories than those among supervisor/supervisee or faculty/student.

UCSB Categories

Bar chart titled "UCSB Categories" showing # of Cases (y-axis, 0 to 160) by Frequently Used Categories (x-axis):

Category	# of Cases
Grading	30
Performance Eval.	41
Discipline	21
Plagiarism	4
Faculty Conduct	48
Staff Conduct	100
Student Conduct	34
Disability Accom.	11
Discrimination	6
Harassment	19
Intellectual Prop.	2
Tenure	28
Job Advancement	33
Job Satisfaction	76
Mgemt Effectiv.	117
Policy Concern	112
Business/Financial	40
Organiz. Ineffic.	22
Retaliation	9
Bullying/Threats	40
Strained Relatship	136
Unfair Treatment	81
Civility/Respect	107
Cultural Commun.	8
Ethical Dilemma	18
Work-Life	14
Mental Health	22
Personal Issues	23
Not campus issue	6

IOA Categories

# of Cases vs **Frequently Used Categories**

Category	# of Cases
2a	42
2b	39
2c	24
2d	68
2e	69
2f	109
2h	40
2i	26
2j	50
2k	75
2l	29
2m	82
3a	19
3b	93
3c	62
3d	86
3e	40
4b	13
4d	33
4g	14
4j	24
5b	13
5c	12
5e	13
6i	20
6j	20
7a	17
7b	19
7c	74
7d	14
8a	23
8b	32
8c	19
8d	28
8e	21
8f	31
8g	30
8h	15
9a	36
9b	23

Please see Appendix I for full descriptions of IOA case categories.

IV. OBSERVATIONS AND INTERPRETATION

The use of our office has increased about 60% over the last two years. There is no one "normal path" to our office, but most visitors who come are repeat users, know one of the Ombuds, or have been referred by friends or other offices on campus. The referrals from others indicate to us that there is a campus awareness (at least among the staff) of our existence and our role. I believe the effectiveness of our service is our strongest asset—people come back and refer their colleagues and friends.

Of the broad categories that we have used to define topics of concern to our visitors, the following are the most common:
- Strained relationship
- Management effectiveness
- Policy concern
- Civility/Respect
- Staff conduct
- Unfair treatment

Most visitors have a "presenting issue" (e.g. grade dispute, performance evaluation, policy concern) but also have various underlying issues, such as management effectiveness or respect. When we track categories, we note as many categories per case as seem relevant.

In parallel, we have used IOA categories, which have provided a more specific breakdown of the type of issues, tracking issues separately in cases involving evaluative relationships and in cases involving peer relationships. Most cases brought to the office involved evaluative relationships (e.g. supervisor-employee or faculty-student.)

The most common concerns in evaluative relationships (in order of frequency) are
- Supervisory Effectiveness
- Communication
- Respect/Treatment
- Department Climate
- Performance Appraisal/Grading

The most common concerns in peer relationships (in order of frequency) are:
- Respect/Treatment
- Communication
- Trust/Integrity
- Bullying

Another category that is tracked, but not tied either to evaluative or peer relationships is the area of Administrative Decisions and Interpretation (IOA category 7C). It is not surprising that these issues related to administrative decisions are brought to our office because those who come here are often experiencing the feeling of being "up against the wall" in terms of their options in the institution. They can come to the office and talk through options in an atmosphere of confidentiality and safety. This area also illustrates the fact that there is often a power differential that requires navigation on the part of the employee or the student even if there is no direct evaluative relationship between the persons involved.

The IOA category 8 related to Organizational, Strategic, Mission/Related Questions reflects a broad range of topics that often apply to departments in the midst of organizational change or restructuring. (These issues are often discussed at various department retreats that we have facilitated.) The most common concerns in this area:

- Leadership and Management
- Organizational Climate
- Change Management
- Communication

Although change is a constant, the current period of severe budgetary challenges increases the need for and reality of institutional change. In this office, we often hear the personal impacts of change in terms of how communication becomes less than ideal and how people experience stress as a result. The impacts of change affect both those in leadership roles as well as subordinates.

We fully expect that the intensity and number of cases involving the direct and indirect impacts of the budget reductions will increase in 2009/10. Direct effects of the budget include furloughs, layoffs, and reduction of services. Indirect effects include:

- Increased stress due to increased workload
- Interpersonal conflict or stress which may be tied to lack of alternative job options
- Management challenges
- Retirements, shrinking workforce, loss of institutional knowledge
- Faculty and staff scheduling difficulties and related discontent
- No end in sight—no good news on the horizon to provide hope or encouragement
- Personal budget stress
- Difficulty getting into classes due to enrollment pressures

Our ongoing challenge is to meet these needs both with adequate and appropriate resources.

An important aspect of our role on the campus is to be available as a resource for departments or subsets of departments for consultation or training. This year we had seven "facilitate own process" cases, which are not included in our case statistics. Most of these cases involved facilitating a department meeting or retreat. These involved a significant time commitment (a few were in the range of 10-15 hours) and involved groups of 3-10 people. Such involvements provide a service to the campus, and may increase in the future as departments have fewer financial resources to go "outside" for help. We often train or consult on issues involving communication, trust, and building a department climate where open communication can occur and where trust can grow.

We have made a number of public presentations this year around many of the same topics that are those of highest concern to our visitors. We plan to continue and to increase these presentations as opportunities arise.

This year a significant amount of our time involved working with a campus team on the development of a Threat Management Team (TMT) and drafting a related policy that was sent out for campus review. We have also worked on the website which will "go live" in 2009.

We are encouraged when we observe campus units work together toward common goals (such as Distressed Student Protocol participants working with the Threat Management Team.) We observe the challenges that ensue when campus units do not work together in ways that would

be most productive. We look for opportunities to help coordinate effective communication. We find that, in general, collaboration across the units is a great strength on this campus. One example is the opportunity to work with other units to coordinate training efforts. The number of on-campus referrals to our office reflects the level of trust in our capacity to work collaboratively to support the varied needs of the campus community.

We appreciate the fact that we have access to individuals at all levels of the institution and that, in general, there is an attitude of openness to hearing about concerns in their areas. We honor our commitment to confidentiality, and when we have permission to do so, can bring concerns to those who can appropriately take action to resolve difficult situations.

On a personal note, we were saddened by the unexpected death of Stan Anderson. Stan was an emeritus professor of Political Science, long time student of the ombudsman profession, and a staunch supporter of the Office of the Ombuds at UCSB since its inception. We will miss him.

V. PLANS FOR 2009-2010

- Explore cost-effective options to increase our visibility as a campus resource.
- Encourage members of the campus community to build skills in the most common areas that are of concern to our visitors.
- Continue to share our resources (such as books from a small lending library and information about campus and community resources).
- Explore options to continue the book club with discussions on topics involving challenges and dilemmas of intrapersonal and interpersonal issues.
- Continue to attend training sessions to increase our knowledge and skills when it is both feasible and fiscally appropriate. The reality is that our opportunities for training will decrease dramatically due to budget cuts. We hope to send one person to the IOA conference in 2010.
- Continue to explore options to provide training, especially related to topics that are of highest concern to our visitors, and partner with appropriate offices and individuals on campus to provide such training.
- Continue to meet one-on-one with campus administrators to initiate relationships and provide support and referral services.
- Finalize an Ombuds Charter with support from the Ombuds Advisory Committee.
- Provide high quality service consistent with IOA Standards of Practice to the UCSB community.
- Work within budget constraints as we face the challenges of the upcoming year with a goal of retaining our "human resources," the team of people in our office who provide the services so essential to the campus.

INTERNATIONAL OMBUDSMAN ASSOCIATION

VERSION 1, 2006

Reporting Categories

1. Employee Compensation & Benefits Questions, concerns, issues or inquiries about the equity, appropriateness and competitiveness of employee compensation, benefits and other benefit programs.

   1.a Compensation (rate of pay, salary amount, job salary classification/level)
   1.b Payroll (administration of pay, check wrong or delayed)
   1.c Benefits (decisions related to medical, dental, life, vacation/sick leave, education, worker's compensation insurance, etc.)
   1.d Retirement, Pension (eligibility, calculation of amount, retirement pension benefits)
   1.e Other (any other employee compensation or benefit not described by the above categories). Please specify below:
   Other 1: ....
   Other 2: ....
   Other 3: (add additional rows, if necessary)
   ....
   ....
   ....

2. Evaluative Relationships Questions, concerns, issues or inquiries arising between people in evaluative relationships (i.e. supervisor-employee, faculty-student.)

   2.a Assignments/Schedules (appropriateness or fairness of tasks)
   2.b Feedback (feedback or recognition given, or responses to feedback received)
   2.c Consultation (requests for help in dealing with issues between two or more individuals they supervise/teach or with other unusual situations in evaluative relationships)
   2.d Performance Appraisal/Grading (job/academic performance in formal or informal evaluation)
   2.e Departmental Climate (prevailing behaviors, norms, or attitudes within a department for which supervisors or faculty have responsibility)
   2.f Supervisory Effectiveness (management of department or classroom, failure to address issues)
   2.g Insubordination (refusal to do what is asked)
   2.h Discipline (appropriateness, timeliness, requirements, alternatives, or options for responding)
   2.i Equity of Treatment (favoritism, one or more individuals receive preferential treatment)
   2.j Priorities, Values, Beliefs (differences about what should be considered important – or most important – often rooted in ethical or moral beliefs)
   2.k Respect/Treatment (demonstrations of inappropriate behavior, disregard for people, rudeness, crudeness, etc.

   2.l Trust/Integrity (suspicion that others are not being honest, whether or to what extent one wishes to be honest, etc.)
   2.m Communication (quality and/or quantity of communication)
   2.n Bullying, Mobbing (abusive, threatening, and/or coercive behaviors)
   2.o Diversity-Related (comments or behaviors perceived to be insensitive, offensive, or intolerant on the basis of an identity-related difference such as race, gender, nationality, sexual orientation)
   2.p Retaliation (punitive behaviors for previous actions or comments, whistleblower)
   2.q Physical Violence (actual or threats of bodily harm to another)
   2.r Other (any other evaluative relationship not described by the above categories). Please specify below:
   Other 1: ....
   Other 2: ....
   Other 3: (add additional rows, if necessary)
   ....
   ....
   ....

3. Peer and Colleague Relationships Questions, concerns, issues or inquiries involving peers or colleagues who do not have a supervisory-employee or student-professor relationship (e.g., two staff members within the same department or conflict involving members of a student organization).

   3.a Priorities, Values, Beliefs (differences about what should be considered important – or most important – often rooted in ethical or moral beliefs)
   3.b Respect/Treatment (demonstrations of inappropriate regard for people, not listening, rudeness, crudeness, etc.
   3.c Trust/Integrity (suspicion that others are not being honest, whether or to what extent one wishes to be honest, etc.)
   3.d Communication (quality and/or quantity of communication)
   3.e Bullying, Mobbing (abusive, threatening, and/or coercive behaviors)
   3.f Diversity-Related (comments or behaviors perceived to be insensitive, offensive, or intolerant on the basis of an identity-related difference such as race, gender, nationality, sexual orientation)
   3.g Retaliation (punitive behaviors for previous actions or comments, whistleblower)
   3.h Physical Violence (actual or threats of bodily harm to another)
   3.i Other (any peer or colleague relationship not described by the above categories). Please specify below:
   Other 1: ....
   Other 2: ....

   Other 3: (add additional rows, if necessary)
   ....
   ....
   ....

4. Career Progression and Development Questions, concerns, issues or inquiries about administrative processes and decisions regarding entering and leaving a job, what it entails, (i.e., recruitment, nature and place of assignment, job security, and separation.)

   4.a Job Application/Selection and Recruitment Processes (recruitment and selection processes, facilitation of job applications, short-listing and criteria for selection, disputed decisions linked to recruitment and selection)
   4.b Job Classification and Description (changes or disagreements over requirements of assignment, appropriate amount of work and/or tasks)
   4.c Involuntary Transfer/Change of Assignment (notice, selection and special dislocation rights/benefits, removal from prior duties, unrequested change of work tasks)
   4.d Tenure/Position Security/Ambiguity (security of position or contract, provision of secure contractual categories), Career Progression (Promotion, Reappointment, or Tenure)
   4.e Rotation and Duration of Assignment (non-completion or over-extension of assignments in specific settings/countries, lack of access or involuntary transfer to specific roles/assignments, requests for transfer to other places/duties/roles)
   4.f Resignation (concerns about whether or how to voluntarily terminate employment or how such a decision might be communicated appropriately)
   4.g Termination/Non-Renewal (end of contract, non-renewal of contract, disputed permanent separation from organization)
   4.h Re-employment of Former or Retired Staff (loss of competitive advantages associated with re-hiring retired staff, favoritism)
   4.i Position Elimination (elimination or abolition of an individual's position)
   4.j Career Development/Coaching/Mentoring (classroom, on-the-job, and varied assignments as training and developmental opportunities)
   4.k Other (any other issues linked to recruitment, assignment, job security or separation not described by the above categories). Please specify below:
   Other 1: ....
   Other 2: ....
   Other 3: (add additional rows, if necessary)
   ....
   ....
   ....

5. Legal, Regulatory, Financial and Compliance Questions, concerns, issues or inquiries that may create a legal risk (financial, sanction etc.) for the organization or its members if not addressed, including issues related to waste, fraud or abuse.

5.a Criminal Activity (threats or crimes planned, observed, or experienced, fraud)

5.b Business and Financial Practices (inappropriate actions that abuse or waste organizational finances, facilities or equipment)

5.c Harassment (unwelcome physical, verbal, written, psychological or sexual conduct that creates a hostile or intimidating environment)

5.d Discrimination (different treatment compared with others or exclusion from some benefit on the basis of, for example, gender, race, age, national origin, religion, etc.[being part of an Equal Employment Opportunity protected category – applies in the U.S.])

5.e Disability, Temporary or Permanent, Reasonable Accommodation (extra time on exams, provision of assistive technology, interpreters, or Braille materials including questions on policies, etc. for people with disabilities)

5.f Accessibility (removal of physical barriers, providing ramps, elevators, etc.)

5.g Intellectual Property Rights (e.g., copyright and patent infringement)

5.h Privacy and Security of Information (release or access to individual or organizational private or confidential information)

5.i Other (any other legal, financial and compliance issue not described by the above categories). Please specify below:
Other 1: ....
Other 2: ....
Other 3: (add additional rows, if necessary)
....
....
....

6. Safety, Health, and Physical Environment Questions, concerns, issues or inquiries about Safety, Health and Infrastructure-related issues.

6.a Safety (physical safety, medical evacuation, meeting federal and state requirements for safety training and equipment)

6.b Physical Working Conditions (temperature, odors, noise, available space, lighting, etc)

6.c Ergonomics (proper set-up of workstation affecting physical functioning)

6.d Cleanliness (sanitary conditions and facilities to prevent the spread of disease)

6.e Security (adequate lighting in parking lots, metal detectors, guards, limited access to building by outsiders, anti-terrorists measures (not for classifying "compromise of classified or top secret" information)

6.f Telework/Flexplace (ability to work from home or other location because of business or personal need, e.g., in case of man-made or natural emergency)

6.g Safety Equipment (access to/use of safety equipment as well as access to or use of safety equipment, e.g., fire extinguisher)

6.h Environmental Policies (policies not being followed, being unfair ineffective, cumbersome)

6.i Work Related Stress and Work–Life Balance (Post-Traumatic Stress, Critical Incident Response, internal/external stress, e.g. divorce, shooting, caring for sick, injured)

6.j Other (any safety, health, or physical environment issue not described by the above categories). Please specify below:
Other 1: ....
Other 2: ....
Other 3: (add additional rows, if necessary)
....
....
....

7. Services/Administrative Issues Questions, concerns, issues or inquiries about services or administrative offices.

7.a Quality of Services (how well services were provided, accuracy or thoroughness of information, competence, etc.)

7.b Responsiveness/Timeliness (time involved in getting a response or return call or about the time for a complete response to be provided)

7.c Administrative Decisions and Interpretation/ Application of Rules (non-disciplinary decisions by those providing administrative or academic services, eg., financial aid, parking, etc)

7.d Behavior of Service Provider(s) (how an administrator or staff member spoke to or dealt with a constituent, customer, or client, eg., rude, inattentive, or impatient)

7.e Other (any services or administrative issue not described by the above categories). Please specify below:
Other 1: ....
Other 2: ....
Other 3: (add additional rows, if necessary)
....
....
....

8. Organizational, Strategic, and Mission Related Questions, concerns, issues or inquiries that relate to the whole or some part of an organization.

8.a Strategic and Mission-Related/ Strategic and Technical Management (principles, decisions and actions related to where and how the organization is moving)

8.b Leadership and Management (quality/ capacity of management and/or management/leadership decisions, suggested training, reassignments and reorganizations)

8.c Use of Positional Power/Authority (lack or abuse of power provided by individual's position)

8.d Communication (content, style, timing, effects and amount of organizational and leader's communication, quality of communication about strategic issues)

8.e Restructuring and Relocation (issues related to broad scope planned or actual restructuring and/or relocation affecting the whole or major divisions of an organization, eg. downsizing, offshoring, outsourcing)

8.f Organizational Climate (issues related to organizational morale and/or capacity for functioning)

8.g Change Management (making, responding or adapting to organizational changes, quality of leadership in facilitating organizational change)

8.h Priority Setting and/or Funding (disputes about setting organizational/departmental priorities and/or allocation of funding within programs)

8.i Data, Methodology, Interpretation of Results (scientific disputes about the conduct, outcomes and interpretation of studies and resulting data for policy)

8.j Interdepartment/Interorganization Work/Territory (disputes about which department/organization should be doing what/taking the lead)

8.k Other (any organizational issue not described by the above categories). Please specify below:
Other 1: ....
Other 2: ....
Other 3: (add additional rows, if necessary)
....
....
....

9. Values, Ethics, and Standards Questions, concerns, issues or inquiries about the fairness or need for revision of policies, values, and standards of conduct.

9.a Standards of Conduct (fairness, applicability or lack of behavioral guidelines and/or Codes of Conduct, e.g., Academic Honesty, plagiarism, Code of Conduct, conflict of interest)

9.b Values and Culture (questions, concerns or issues about the values or culture of the organization)

9.c Scientific Conduct/Integrity (scientific or research misconduct or misdemeanors, e.g., authorship; falsification of results)

9.d Policies and Procedures NOT Covered in Broad Categories 1 thru 8 (fairness or lack of policy or the application of the policy, policy not followed, or needs revision, eg., appropriate dress, use of internet or cell phones)

9.e Other (Other policy, procedure, ethics or standards issues not described in the above categories). Please specify below:
Other 1: ....
Other 2: ....
Other 3: (add additional rows, if necessary)
....
....
....