

 **Office of the Ombuds**
University of California, Santa Barbara

**2009-2010
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. 2009-2010 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

Priscilla Mori has continued in the position of Campus Ombuds, providing leadership and coordination of services in the office. She served as the primary ombuds for 58% of our cases. She also provided training alone and as part of a team with Kirsi and Lainie, and also represented the office at a number of presentations on and off campus.

Kirsi Aulin, as Associate Ombuds, was the primary ombuds for 24% of our cases. She also participated with Lainie and Priscilla in providing training and presentations to the campus. She worked with Lainie on the design of a new brochure and she coordinated the Ombuds Book Group, facilitating a series of discussions on the book, *Outliers*, by Malcolm Gladwell.

Bill Forgie served as Faculty Ombuds, dealing primarily with cases involving faculty and graduate students, and was primary ombuds for 8% of our cases this year.

Although there was no staff turnover during this year, the office (along with the rest of the campus) was challenged with handling the workload through the period of staff furloughs. The furloughs started September 1, 2009 and continued through the end of the fiscal year and on through August of 2010. In addition to the mandatory furlough percentages, Lainie Pascall and Kirsi Aulin voluntarily reduced their time even further. (Lainie worked at 75% time and Kirsi at 87.5% time.) Our budget reduction resulted in a dramatic reduction in percentage of time for Bill Forgie, whose percentage of time was decreased from 25% over 9 months to approximately 5% over nine months.

B. Administrative Support

Lainie Pascall proactively provided administrative support of consistently high quality. Not only was she the person who most users of the office encountered first, but she handled an administrative workload that, this year, included the following:

- Updated various internal office forms
- Redesigned and produced new outreach brochure
- Completed a complete redesign of the content and structure of our website, which went live in the summer of 2010
- Coordinated visits of Ombuds staff to various campus locations
- Updated database
- Prepared statistical reports as needed
- Handled case intake for most of the 330 cases
- Served as primary ombuds for 32 cases
- Provided travel arrangements for office staff as needed
- 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. Training Provided

Date	Department/Group	By Ombuds	# of Hours
8/12/09	Workplace Violence (HR with John Berberet)	PM	4
9/15/09	Leadership Development Program	PM	10
9/21/09	L & S New Chair Orientation	PM	2
9/22/09	Managing Conflict in the Class (TA Training)	LP, KA	4
10/9/09	Student Advocate Office (Active Listening)	LP, KA	4
10/21/09	TMT Training	PM	10
4/8/10	IOA Conference- Sustaining Community & Preventing Violence – break out session	PM	20
3/4/10	Student Advocate Office (Active Listening)	LP, PM	2
4/19-4/22/10	MSAP Assessor	PM	40
4/29/10	Santa Rosa Residence Hall (Conflict Resolution)	PM	2
4/29/10	Advanced Mediation Training (as a coach)	PM	8

2. Training Attended

Date	Department/Group	By Ombuds	# of Hours
7/9/09	Budget Forum	PM, BF	2
8/14/09	Furlough Forum	PM, BF	2
9/16/09	Furlough Implementation Information Session	LP	2
10/7/09	L&S Chair/Business Officer Meeting	PM, KA, BF	2
10/15/09	Helicopter Parents	PM, BF, KA	1
10/26/09	Sexual Harassment Training	KA	2
12/8-12/9/10	Threat Management Training (San Diego)	PM	16
1/5/00	Travel Reimbursements	KA	0.5
2/9/10	L&S Chair/Business Officer Meeting	PM	2
2/10/10	HR Workshop: Conflict in Workplace	PM	1
2/18/10	HR Workshop: Staff Solutions to Budget Crisis	PM	1
2/18/10	Suicide Prevention Conference	KA	8
3/2/10	Departmental Safety Representative (EH&S)	LP	2
3/8/10	Webinar re: Violence against Women	PM, KA	1
3/9/10	Flexcard Training	KA	1.5
3/12/10	Post-Traumatic Stress Training	KA	24
3/23-3/24/10	MSAP Assessor Training	PM	24
4/5/10	PPS Basics	KA	9.5
4/7/-4/10/10	IOA Conference - New Orleans	PM	24
4/14/10	UC Budget Process	KA	3.5

3. Outreach

We have taken a multi-pronged approach to outreach. We describe our services, and invite individuals to use and refer others to these services. 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
- Made presentations to new chairs and faculty
- Provided office 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

- Financial Aid Advisory Committee
- Threat Management Team
- Consultation Support Group
- Campus Emergency Planning Committee
- Ombuds Book Group
- Restorative Justice Facilitators Group

Kirsi Aulin

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

E. Office Location

The Office has been located in 1205-K Girvetz Hall since May 2005. During 2009-2010, our space was enhanced to include two additional offices, one for Bill Forgie (who previously had a desk in our conference room) and one additional office for intake sessions, which also houses our lending library and other resources. The addition of these offices has provided a great deal of relief and allows confidentiality to be enhanced, especially in the intake process. Our central campus location is ideal; it is accessible on campus, 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.

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 2010, Priscilla attended the annual meeting of the IOA in New Orleans and gave a presentation entitled “Sustaining Community and Preventing Violence: A Campus Approach to Dealing with Intimidation, Threats of Violence, and Acts of Violence.” (Budget constraints limited us to one attendee this year.)

The UC system-wide Ombuds group has been active during this year in ongoing conversations and emails. Due to budget constraints, we did not meet together physically, but had conference calls dealing with shared topics. The group was a valuable resource for us in the process of implementing our Charter document this year.

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. Kirsi also took (and passed) the IOA Certification Examination, and plans to pursue receipt of the Ombuds certification through IOA in 2010-2011.

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 2009-2010:

- Roane Akchurin, Staff Representative
- Sue Berg Arnold, Staff Representative
- Nancy Collins, Faculty Representative and Chair
- Mario Galicia, Graduate Student Representative
- Chad Mandala, Undergraduate Student Representative
- Andre Wyss, Faculty Representative

Ex-officio members during 2009-2010:

- Kirsi Aulin, Associate Ombuds
- Bill Forgie, Faculty Ombuds
- Priscilla Mori, Campus Ombuds
- Lainie Pascall, Office Manager and Intake Coordinator

H. Other Campus Issues

Priscilla spent a significant time in the previous year in the development of the Threat Management Team (TMT) and the related policy entitled, "Sustaining Community and Preventing Violence." The policy was officially approved in July of 2010 and the TMT website also went live in parallel with the campus approval of the policy. Priscilla's presentation to a breakout group at the IOA Conference in April, 2010 outlined the development of the policy and the TMT for the benefit of other institutions facing similar challenges.

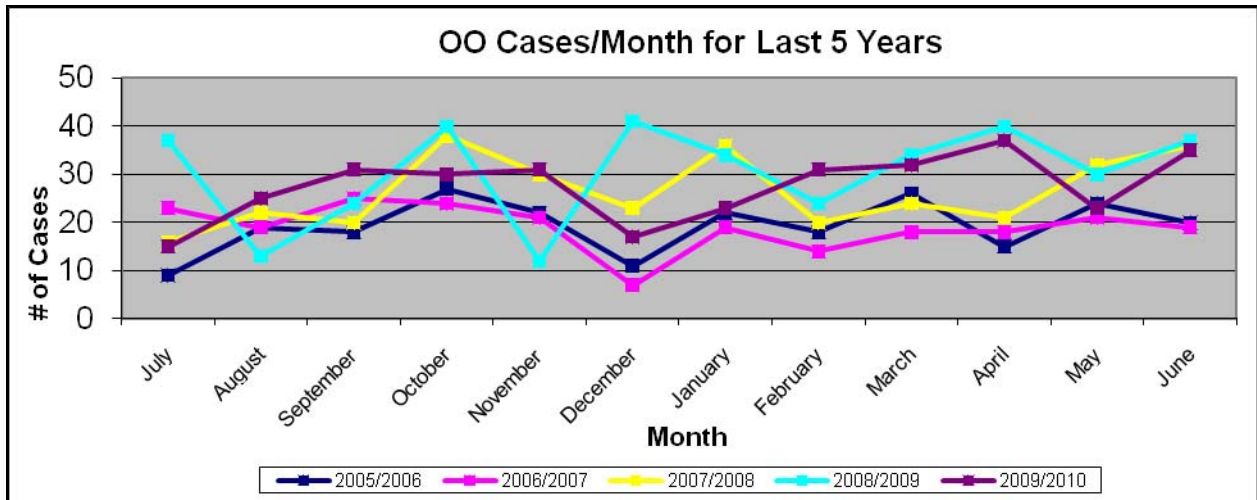
III. CASES, CONTACTS, AND ISSUES

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 330 cases, which represents a decrease of approximately 10% over 2008-2009, but represents an increase of almost 4% over 2007-2008. The average number of cases over the last five years is 295 per year. Furthermore, the 2009-2010 year is well above average with regard to the number of cases per year, and is particularly significant given the furloughs of all the staff, the reductions in percentage of time for Lainie and Kirsi, and the dramatic reduction in the percentage of time for Bill Forgie. The ebb and flow of visitors during most of the academic year is somewhat predictable based on the academic calendar, and the timing of the cases during the quarter and during specific months in the year approximately reflects that of previous years.

2009-2010 Case Totals by Month:

July	15
August	25
September	31
October	30
November	31
December	17
January	23
February	31
March	32
April	37
May	23
June	35



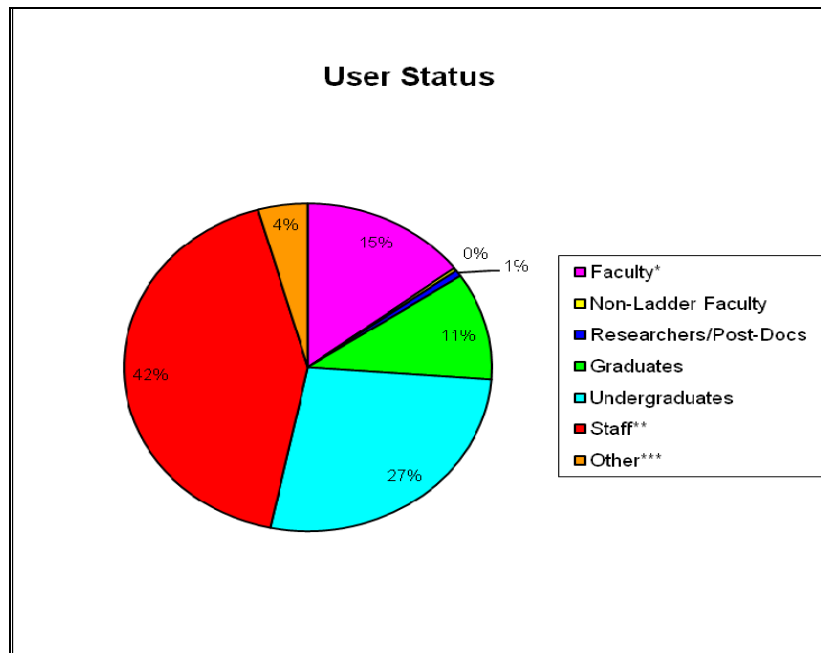
Staff members comprised 42% of our visitors, which is similar to the percentage seen during the previous two years.

Faculty (ladder and non-ladder) comprised 15% of our visitors, compared to 13% the previous year, and 17% the year before that. 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 was at 1%, consistent with the previous year.

Student visitors this year amounted to 38% of our visitors, 27% being undergraduates and 11% graduate students. In 2008-2009 student visitors represented 37% of our visitors, with 25% undergraduates and 12% graduate students. In 2007-2008, 35% of our visitors were students, with 25% undergraduates, and 10% graduates. From this we can conclude student percentages have remained quite consistent. We constantly are looking for new ways to reach out to the changing student population.

We classify a subset of visitors in what we have called the “other” category, which includes parents, community members, alumni, and other users of the office. The percentage of other users was 4% this year, and 6% in the last two years. 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.



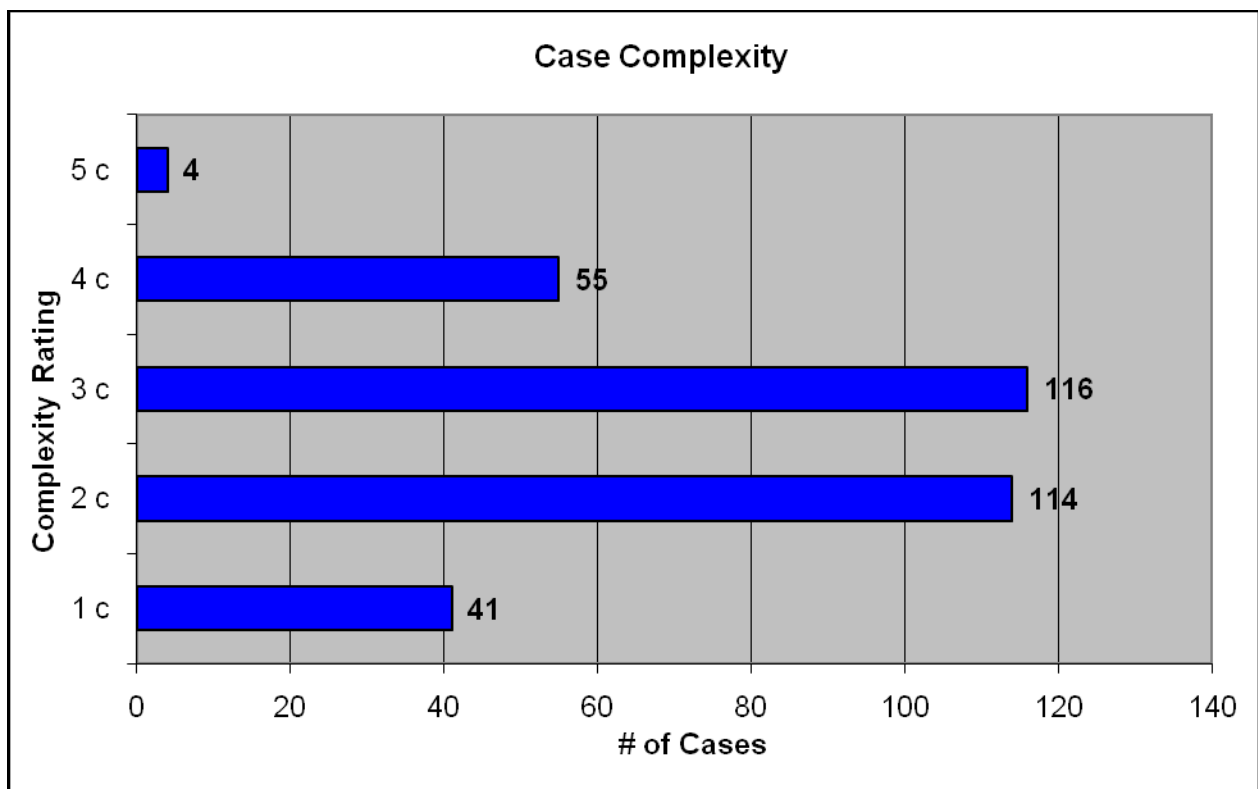
***"Faculty" also includes Administrators & Department Chairs*

****"Staff" also includes Business Officers and Supervisors*

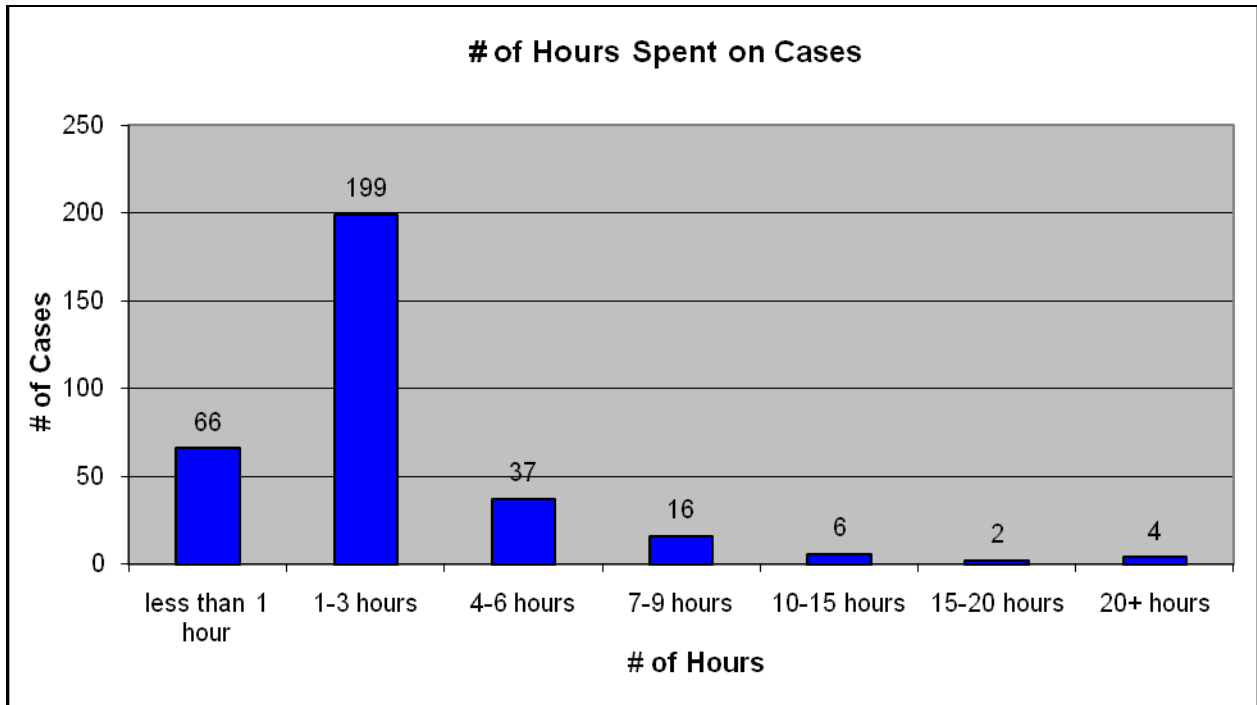
*****"Other" includes Parents, Community Members, and other Users of the Office*

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 (22%) heard about us from other individuals on campus, i.e. they are referred to us by personal acquaintances. 11% heard about us through offices on campus, 36% knew about us from years of experience on campus or from personal relationships with members of our staff. Repeat users accounted for at least 10% of our visitors. Those who learned about us on the website were 5% and 4% 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 within the constraints of our budget.

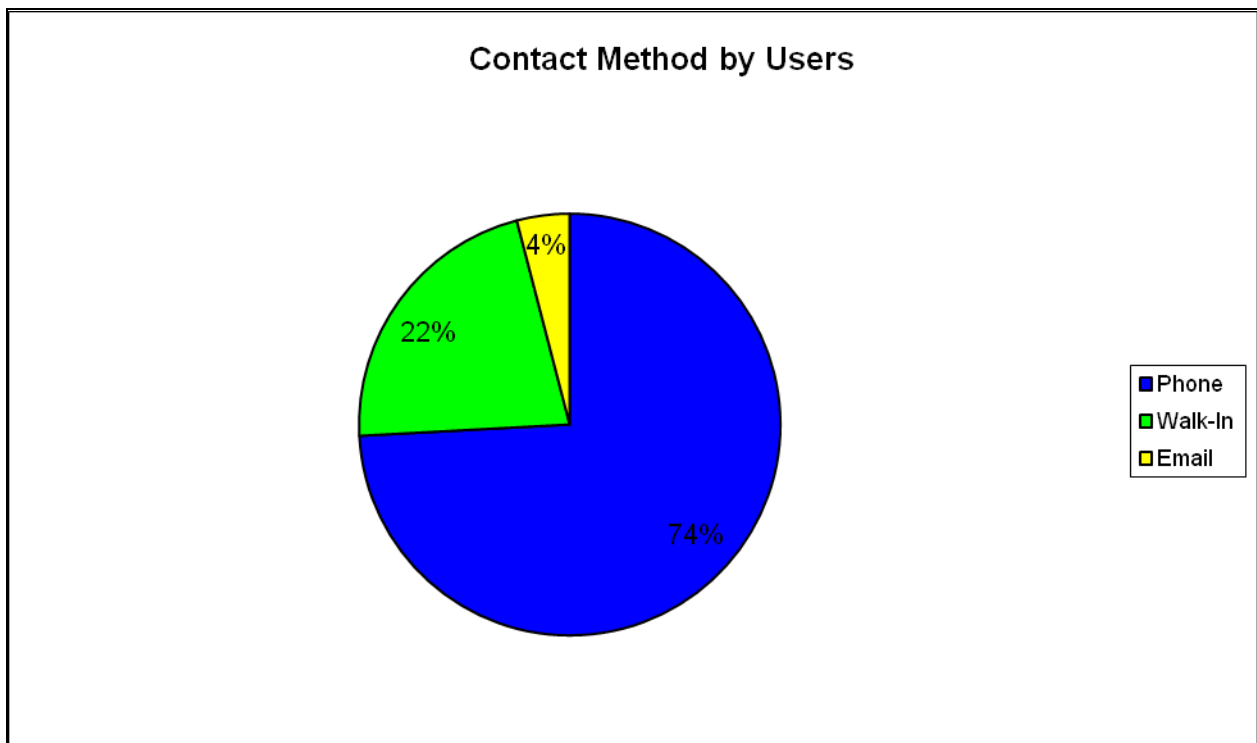
The complexity of cases is based on a combination of factors including risk level, impact on the organization or impact on others, perceived impact on the individual, and effort by the Ombuds. It is based on a judgment call made by the Ombuds who is primarily responsible for the case. Case complexity is rated on a 1-5 scale, with a "1" indicating a non-complex case and "5" indicating 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. Quite predictably, case complexity is a bell-shaped curve, with the greatest number being in the range of moderate complexity.



The pattern of the number of hours spent on cases is also fairly consistent over the years, with about two thirds of our cases requiring about 1-3 hours of our time. Usually this involves one to three meetings or conversations. The spread, however, with almost 20% of the cases involving more than 3 hours, illustrates that a significant number of cases are not quickly or easily resolved.

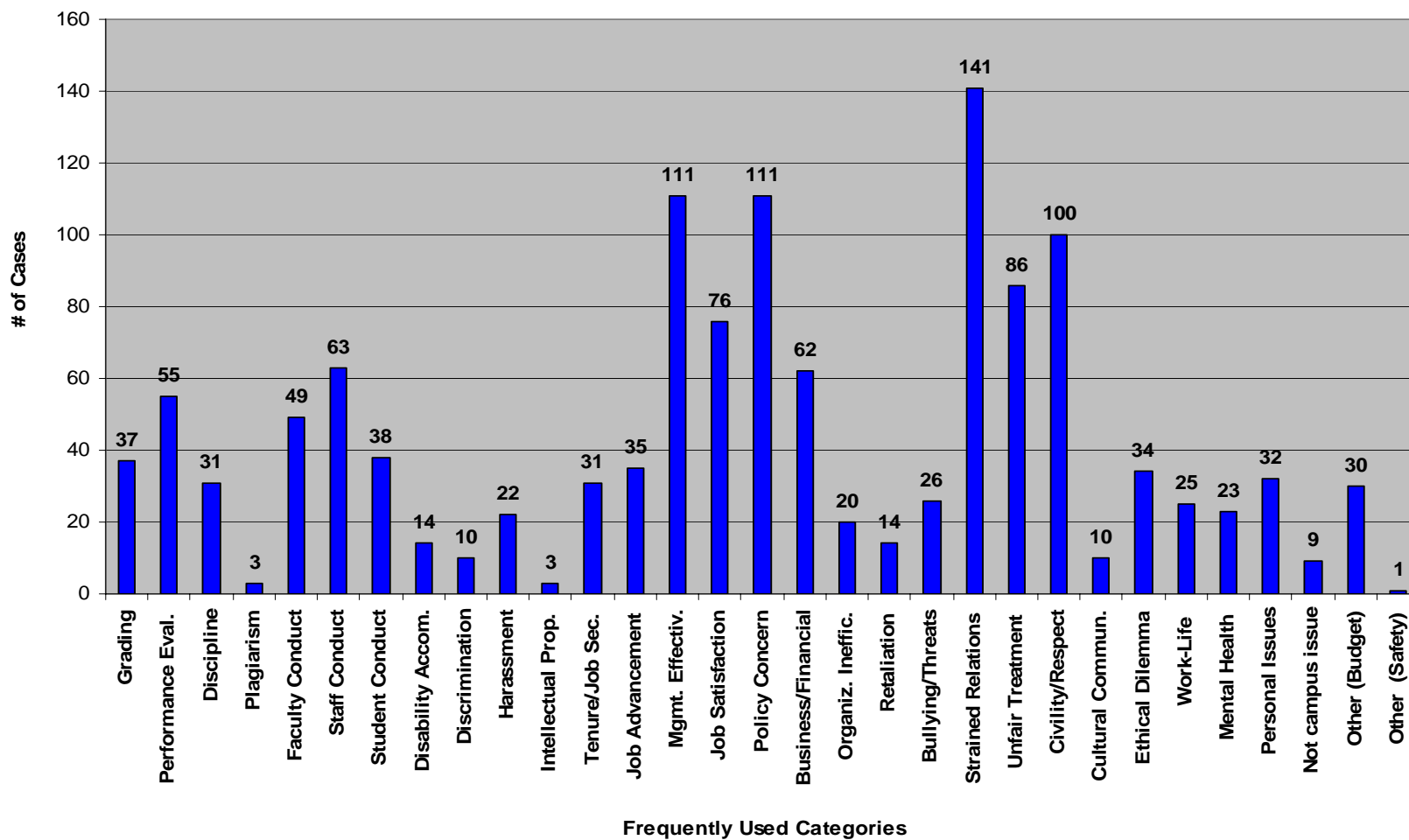


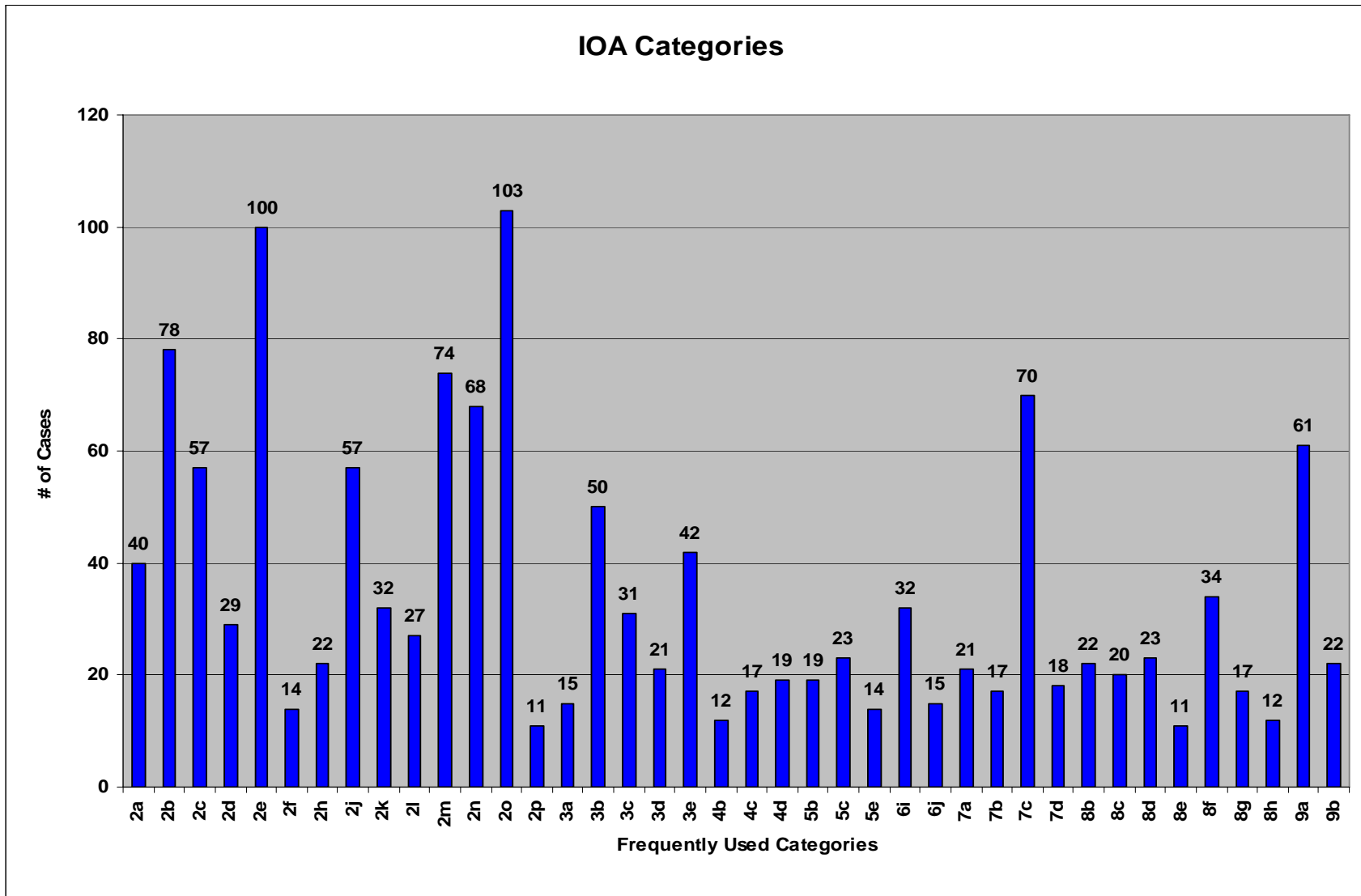
We encourage users of the office to contact us by phone rather than by email because confidentiality on email cannot be assured. The vast majority of users contact us by phone or walk-in, but 4% of our visitors contacted us by email in the last year. This reflects the ease of use of email and the general 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. 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.



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 and 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





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

IV. OBSERVATIONS AND INTERPRETATION

The use of our office has remained generally consistent over the last three 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 UCSB categories we use to define topics of concern to our visitors, the following are the most common:

- Strained relationship
- Management effectiveness
- Policy concern
- Unfair Treatment
- Civility/Respect

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, to track 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
- Performance Appraisal/Grading
- Trust/Integrity
- Assignments/Schedules

The most common concerns in peer relationships (in order of frequency) are:

- Respect/Treatment
- Communication
- Trust/Integrity

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 9 related to Values, Ethics, and Standards includes a category entitled “Standards of Conduct” which includes fairness, applicability or lack of behavioral guidelines and/or Codes of Conduct, e.g. Academic Honesty, plagiarism, Code of Conduct, conflict of interest. This area was a common theme among our visitors. The need for standards of fairness seems particularly significant for students and staff members.

During this year, we tracked a new campus category that would give us a sense of the direct or indirect impact of budget reductions. We found that approximately 9% of our cases dealt with some aspect of the budget. In our annual report last year, we anticipated that the intensity and number of cases involving the direct and indirect impacts of the budget reductions would increase in 2009/10. In an informal evaluation of our visitors, we did see the following factors play out, which affected job performance and interpersonal relationships:

- Direct effects of the budget reductions including furloughs, layoffs, and reduction of services.
- Indirect effects of the budget reductions including:
 - Increased stress due to increased workload
 - 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

Our ongoing challenge is to meet these needs both with adequate and appropriate resources. Our office has served as a kind of pressure release valve for those experiencing the stresses and challenges of severe economic pressures.

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 nine “facilitate own process” cases, the details of which are not included in our case statistics. These cases involved facilitating a department meeting or retreat or participating in restorative justice or mediation. They 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.

We worked on a complete reorganization and redesign of the Ombuds website to go live in the summer of 2010.

We evaluated the possibility of developing “Digi-know” presentations for the residence halls and dining commons. We decided not to go forward with it yet due to budgetary constraints and workload, but we may reconsider it for next year.

We developed and distributed a new color brochure with funding provided by Student Affairs. The brochure has been widely used and well-received as a welcoming, informative tool.

We developed an Ombuds Charter which was accepted and endorsed by the Executive Vice Chancellor.

We prepared for internal staff turnover (which we knew would become reality in 2010-2011) by providing additional training opportunities for Kirsi Aulin, including PPS/Travel/Purchasing/Budget.

We are encouraged when we observe campus units working 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 of this is our 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, we bring concerns to those who can appropriately take action to resolve difficult situations.

V. PLANS FOR 2010-2011

- 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 2011.
- 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.
- Provide high quality service consistent with IOA Standards of Practice to the UCSB community.
- Train new staff member in office and campus procedures.
- Work within budget constraints as we face the challenges of the upcoming year.

Appendix 1



INTERNATIONAL OMBUDSMAN ASSOCIATION Uniform Reporting Categories

VERSION 2
October 2007

1. 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 sub-categories)
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2. Evaluative Relationships

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

- 2.a Priorities, Values, Beliefs (differences about what should be considered important – or most important – often rooted in ethical or moral beliefs)
- 2.b Respect/Treatment (demonstrations of inappropriate regard for people, not listening, rudeness, crudeness, etc.)
- 2.c Trust/Integrity (suspicion that others are not being honest, whether or to what extent one wishes to be honest, etc.)
- 2.d Reputation (possible impact of rumors and/or gossip about professional or personal matters)
- 2.e Communication (quality and/or quantity of communication)
- 2.f Bullying, Mobbing (abusive, threatening, and/or coercive behaviors)
- 2.g 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.h Retaliation (punitive behaviors for previous actions or comments, whistleblower)
- 2.i Physical Violence (actual or threats of bodily harm to another)
- 2.j Assignments/Schedules (appropriateness or fairness of tasks, expected volume of work)
- 2.k Feedback (feedback or recognition given, or responses to feedback received)
- 2.l 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.m Performance Appraisal/Grading

(job/academic performance in formal or informal evaluation)

- 2.n Departmental Climate (prevailing behaviors, norms, or attitudes within a department for which supervisors or faculty have responsibility.)
 - 2.o Supervisory Effectiveness (management of department or classroom, failure to address issues)
 - 2.p Insubordination (refusal to do what is asked)
 - 2.q Discipline (appropriateness, timeliness, requirements, alternatives, or options for responding)
 - 2.r Equity of Treatment (favoritism, one or more individuals receive preferential treatment)
 - 2.s Other (any other evaluative relationship not described by the above sub-categories)
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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 Reputation (possible impact of rumors and/or gossip about professional or personal matters)
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 - 3.h Retaliation (punitive behaviors for previous actions or comments, whistleblower)
 - 3.i Physical Violence (actual or threats of bodily harm to another)
 - 3.j Other (any peer or colleague relationship not described by the above sub-categories)
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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 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)
 - 4.e Career Progression (promotion, reappointment, or tenure)
 - 4.f 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.g Resignation (concerns about whether or how to voluntarily terminate employment or how such a decision might be communicated appropriately)
 - 4.h Termination/Non-Renewal (end of contract, non-renewal of contract, disputed permanent separation from organization)
 - 4.i Re-employment of Former or Retired Staff (loss of competitive advantages associated with re-hiring retired staff, favoritism)
 - 4.j Position Elimination (elimination or abolition of an individual's position)
 - 4.k Career Development, Coaching, Mentoring (classroom, on-the-job, and varied assignments as training and developmental opportunities)
 - 4.l Other (any other issues linked to recruitment, assignment, job security or separation not described by the above sub-categories)
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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, e-mail, audio, video 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 Property Damage (personal property damage, liabilities)
- 5.j Other (any other legal, financial and compliance issue not described by the above sub-categories)

6. Safety, Health, and Physical Environment

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

- 6.a Safety (physical safety, injury, medical evacuation, meeting federal and state requirements for training and equipment)
- 6.b Physical Working/Living 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 sub-categories)

7. Services/Administrative Issues

Questions, concerns, issues or inquiries about services or administrative offices including from external parties.

- 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 (impact of non-disciplinary decisions, decisions about requests for administrative and academic services, e.g., exceptions to policy deadlines or limits, refund requests, appeals of library or parking fines, application for financial aid, etc.)
- 7.d Behavior of Service Provider(s) (how an administrator or staff member spoke to or dealt with a constituent, customer, or client, e.g., rude, inattentive, or impatient)
- 7.e Other (any services or administrative issue not described by the above sub-categories)

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, e.g. downsizing, off shoring, 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 sub-categories)

9. Values, Ethics, and Standards

Questions, concerns, issues or inquiries about the fairness of organizational values, ethics, and/or standards, the application of related policies and/or procedures, or the need for creation or revision of policies, and/or standards.

- 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, e.g., appropriate dress, use of internet or cell phones)
- 9.e Other (Other policy, procedure, ethics or standards issues not described in the above sub-categories)