

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

**2011-2012
Annual Report**

Kirsi Aulin
Campus Ombuds

I. ROLE OF THE OFFICE OF THE OMBUDS

A. Mission Statement

The Office of the Ombuds (OO) 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. 2011-2012 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 43% of our cases. She also provided training alone and as part of a team with Kirsi, Summer, and Bill, and also represented the office at a number of presentations on and off campus. She retired at the end of June after 40 years of service on campus and five years as Campus Ombuds.

Kirsi Aulin, as Associate Ombuds, was the primary ombuds for 30% of our cases. She also participated with Priscilla, Summer, and Bill in providing training and presentations to the campus.

Bill Forgie served as Faculty Ombuds, dealing primarily with cases involving faculty and graduate students, and was primary ombuds for 9% of our cases this year.

Summer Turner, as the Analyst and Intake Coordinator, was responsible for providing direct ombuds services for 18% of our visitors, and, in addition to her administrative support role (as outlined below), contributed to presentations made by the office.

B. Administrative Support

Summer Turner provided administrative support and continued gaining experience and knowledge of campus systems. Summer was usually the first point of contact for most of our visitors, and she handled an administrative workload that included the following:

- Coordinated visits of ombuds staff to various campus and off-campus locations
- Provided travel arrangements for office staff as needed
- Updated database
- Prepared statistical reports as needed
- Handled case intake for most of the visitors to the office
- Served as primary ombuds for 66 cases
- 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 and Other Presentations Provided for the Campus

Date	Department/Group	By Ombuds	# of Hours (Prep & Delivery)
8/27/2011	Head TA Training	PM	8
8/31/2011	Academic Resource Panel Presentation	KA	3
9/19/2011	L&S New Chair Orientation	PM, KA	4
9/19/2011	New Student Convocation – Platform Party	PM	3
10/18/2011	Academic Department Training - Faculty	PM, KA, BF	2
10/19/2011	Academic Department Training - Faculty	KA, BF	1.5
11/29/2011	Academic Department Training - Faculty	PM, KA	1
1/17/2012	GSA Presentation	PM	1
1/18/2012	Academic Department Training – Graduate Students	PM	25
4/23/2012	Orientation Staff Presentation	KA	1

2. Training Attended

Date	Department/Group	By Ombuds	# of Hours
7/25/2011	HR - SMART class, "Employee Conduct Problems"	KA	2
8/31/2011	HR – SMART class, "Tools for Managing Employee Attendance"	KA	2
9/15/2011	FMCP- Resource Mgmt, Data Integrity, & the Computer Environment	KA, ST	3
9/27/2011	HR- SMART class, "Climate Change & Conflict"	KA	2
10/13/2011	Webinar: Protecting UC Whistleblowers & Investigative Complaints of Whistleblower Retaliation	PM	2
10/14/2011	HR SMART class, "Investigating Employee Misconduct"	KA	2
10/20/2011	FMCP – UC Tax Issues	KA, ST	3.5
10/20/2011	PPS Time Reporting Class	KA	2
11/1/2011	AB1825 Sexual Harassment Prevention Training (Life Theater)	KA, ST	2
11/17/2011	IOA Bullying Webinar: Bullying and the Organizational Ombudsman	PM, KA, BF, ST	1.5
12/14/2011	IOA Bullying Webinar: Using Mediation and Other Facilitated Processes to Deal with Workplace Bullying and Harassment	PM, KA, BF, ST	1.5
1/10/2012	Suicide Prevention Presentation	KA	1
1/24/2012	Suicide Prevention Presentation	KA	1
3/15/2012 &3/22/2012	Intermediate Excel Class through the Professional Development Center	ST	9
4/19/2012	Annual DBR Safety Training	ST	2
6/13/2012	TIF Allocator Tool Training	ST	1.5

3. Outreach

We engage in outreach in a variety of ways. In addition to the various training sessions described above, we have:

- 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
- Made presentations to new chairs, and to College and Divisional meetings
- 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

Kirsi Aulin

- Cottage Hospital Grand Rounds

E. Office Location

The Office has been located in 1205-K Girvetz Hall since May 2005.

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 professional organization we belong to is the International Ombudsman Association (IOA). 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 2012, Priscilla attended the annual meeting of the IOA in Houston, and also attended pre-conference sessions on “Improving the Organization’s Climate” and “Managing Up: Helping Visitors Improve Relationships with their Supervisors.”

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 completed Continuing Education requirements to maintain Organizational Ombudsman Practitioner (CO-OP) certification through the International Ombudsman Association.

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 2011-2012:

- Roane Akchurin, staff representative
- Sue Berg Arnold, staff representative
- Ryan Fuller, graduate student representative
- Mike Jochim, faculty representative
- Roy Rodriguez, undergraduate student representative
- Andre Wyss, faculty representative

Ex-officio members during 2011-2012:

- Kirsi Aulin, Associate Ombuds
- Bill Forgie, Faculty Ombuds
- Priscilla Mori, Campus Ombuds
- Summer Turner, Analyst and Intake Coordinator

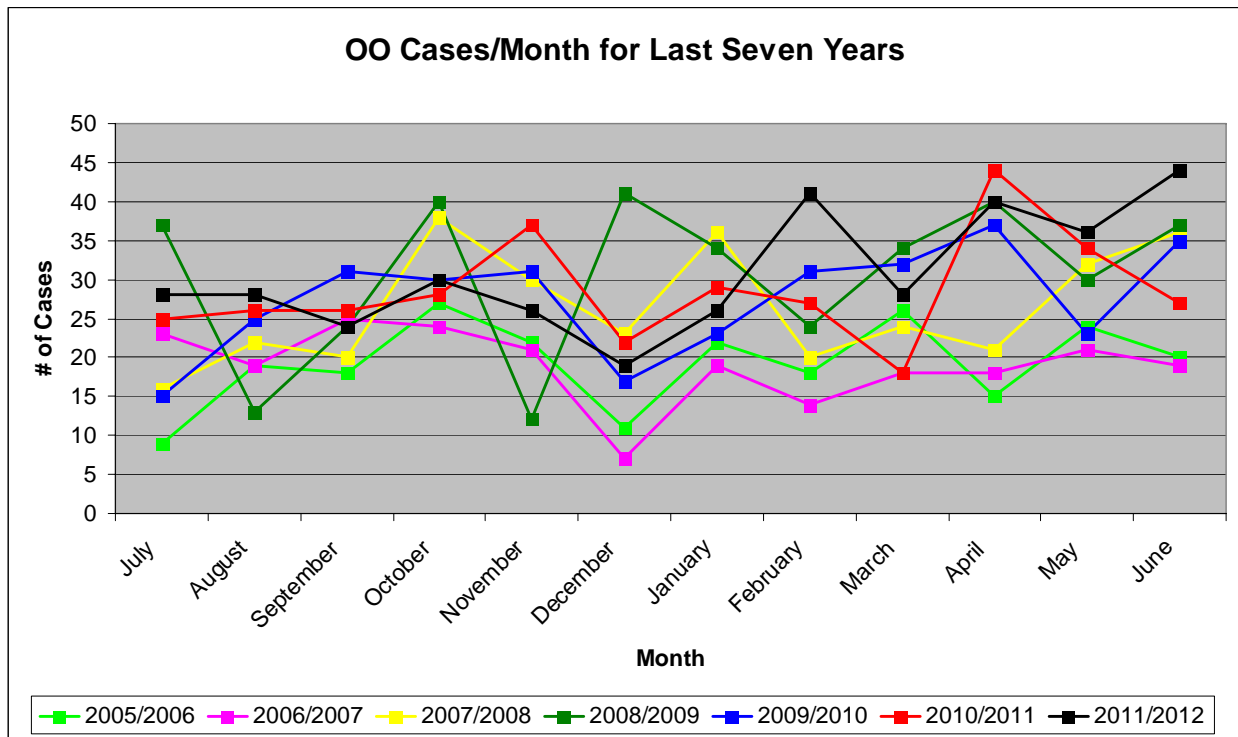
III. CASES, CONTACTS, AND ISSUES

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 370 cases, which represents an increase of approximately 8% over 2010-2011. The average number of cases per year over the last seven years is 312. So the caseload for the current year reflects a significant increase above the seven year average. 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.

2011-2012 Case Totals by Month

July	28
August	28
September	24
October	30
November	26
December	19
January	26
February	41
March	28
April	40
May	36
June	44



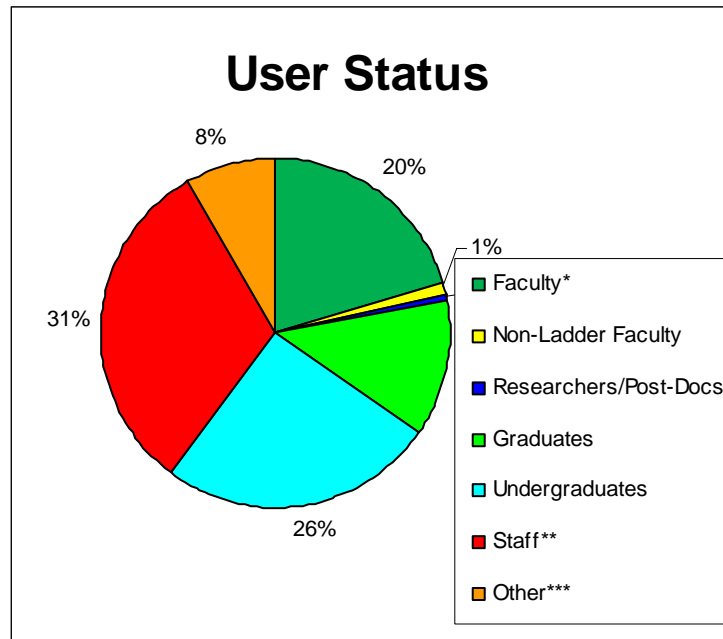
Although we did see 370 cases last year, four of those cases were considered to be of the type where we assisted with processes that don't fit our definition of user status, so no user status is tracked. Therefore, the following percentages are calculated as if we had seen only 366 cases, instead of 370.

Staff members comprised 31% of our visitors, a decrease of 11% from the year before (42% in 10-11).

20% of our visitors were faculty, compared to 8% the previous 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.)

Student visitors this year amounted to 39% of our visitors; 26% were undergraduates and 13% graduate students. In 2010-2011, 42% of our visitors were students; 29% were undergraduates and 13% graduate students. Overall, student percentages have remained quite consistent over a number of years. We are constantly 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 8% this year, up from 7%. 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.



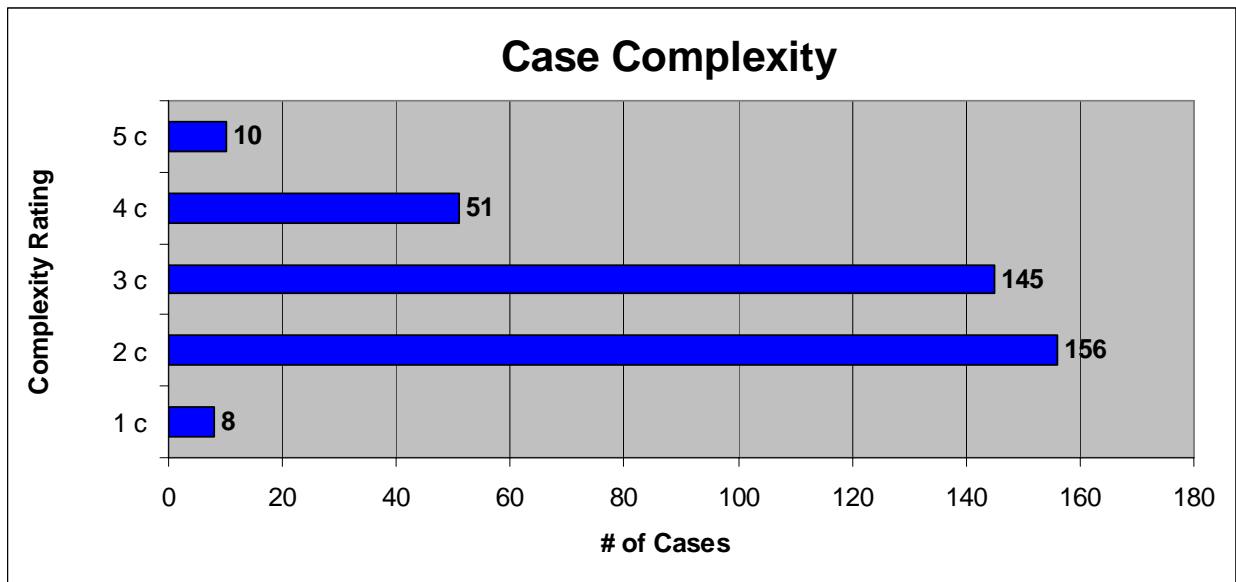
**"Faculty" also includes Administrators & Department Chairs*

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

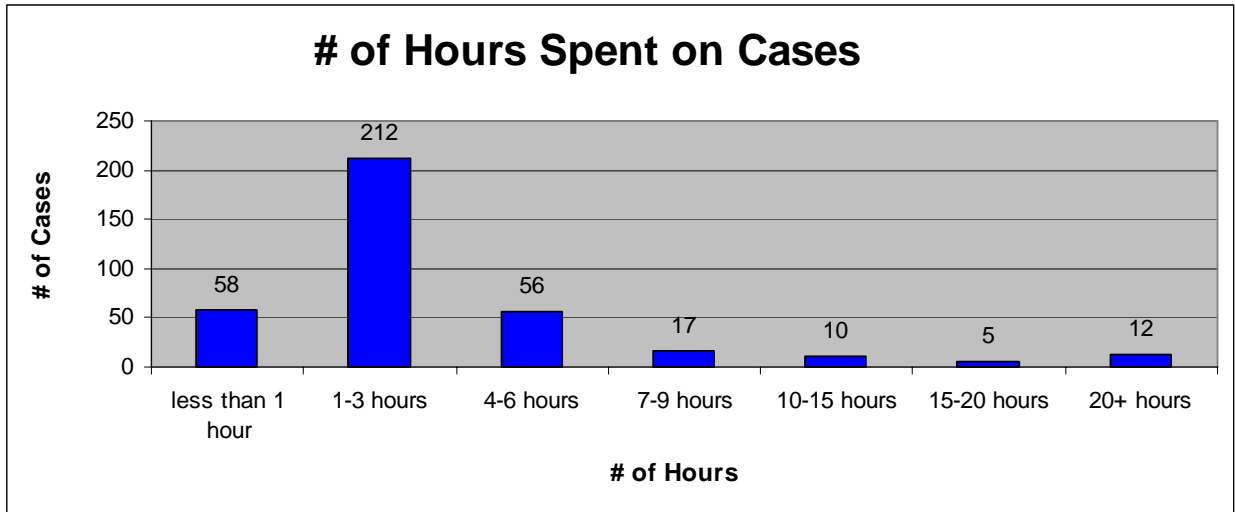
****"Other" includes Parents, Community Members, and other Users of the Office*

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 34% knew about us from years of experience on campus, through their own experience with our office, or from personal relationships with members of our staff. A significant number of individuals (30%) were referred to us by a campus employee, office or service. (N.B. In the past we only discussed the percentage of visitors referred to us by individuals on campus.) 5% learned about us on the website and 4% learned about us through our publications or presentations. We will continue to track this information, and we will also continue our broad-based efforts at publicity within the constraints of our budget.

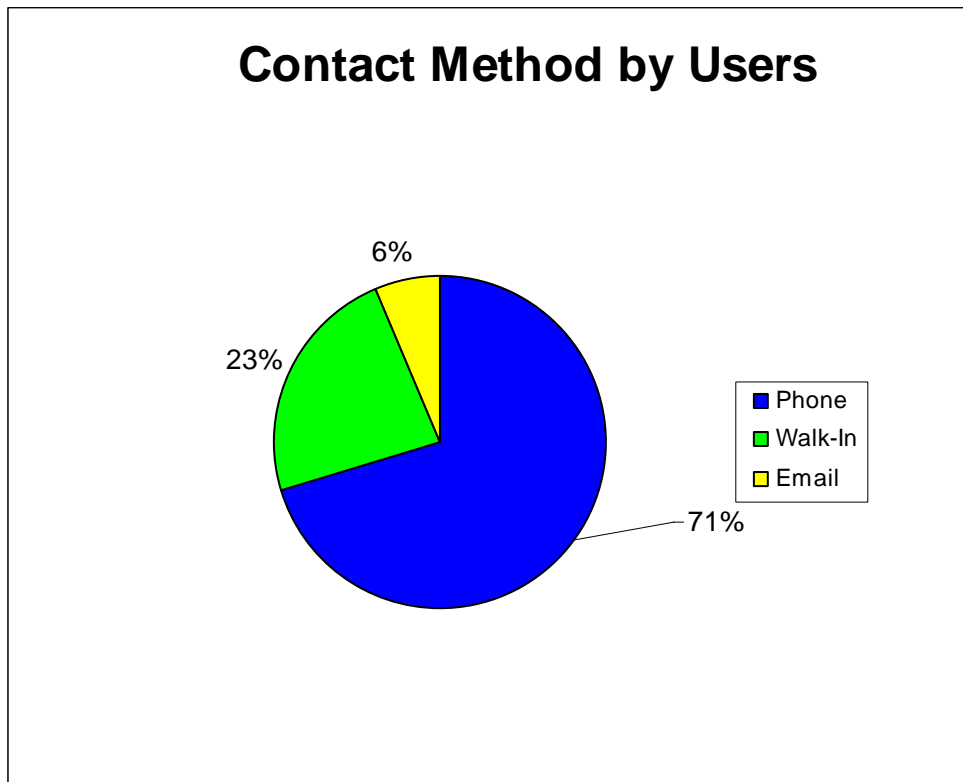
The complexity of cases is based on a combination of factors including risk level, impact on the organization or impact on others, perceived impact on the individual, and effort by the Ombuds. It is based on a judgment call made by the Ombuds who is primarily responsible for the case. Case complexity is rated on a one to five scale, with "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 number of hours spent on cases is also fairly consistent over the years, with about three quarters of our cases requiring about one to three hours of our time. Usually this involves one to three meetings or conversations. The spread, however, with almost one quarter of the cases involving more than three hours, illustrates that a significant number of cases are not quickly or easily resolved.

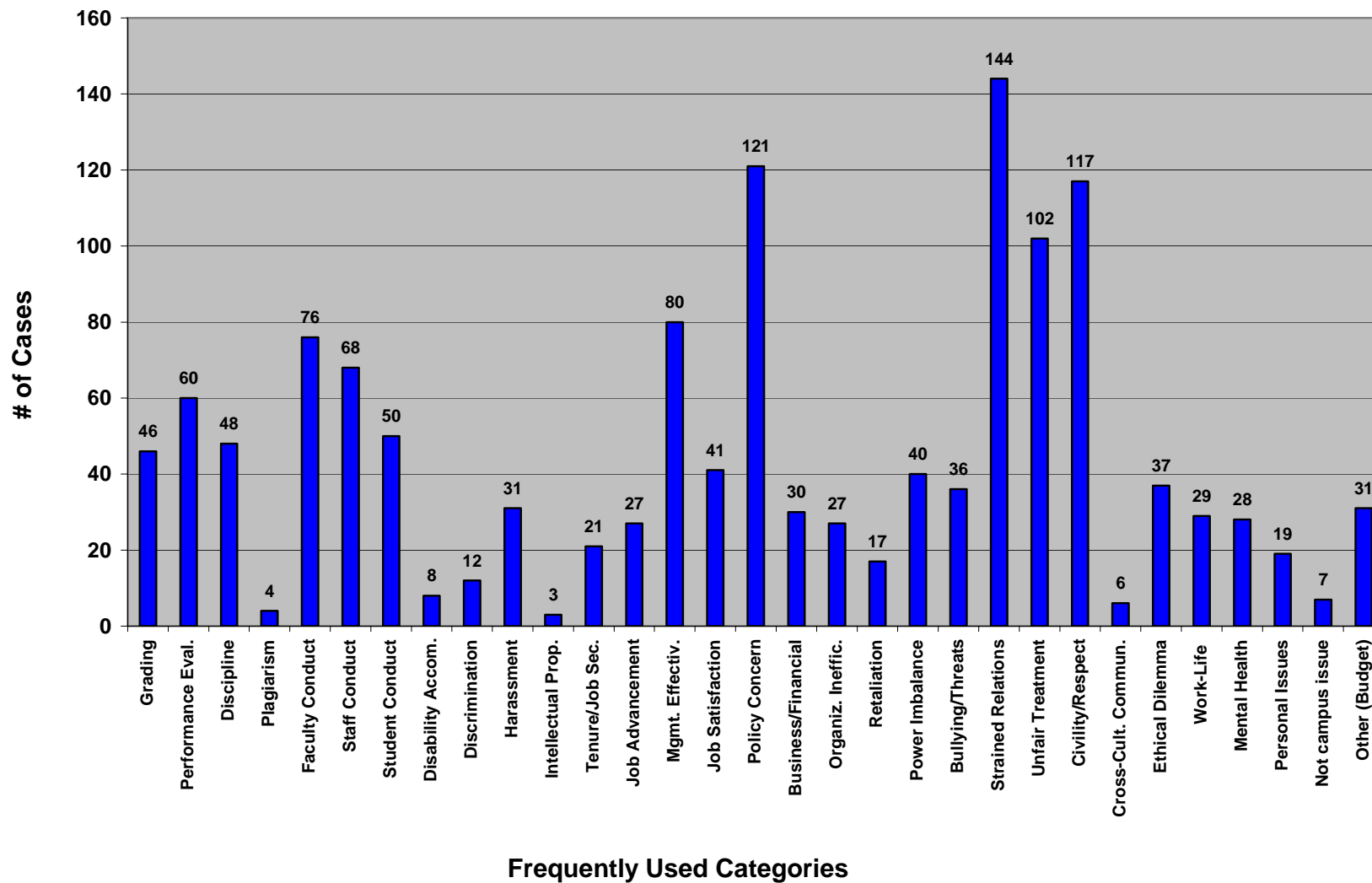


We encourage users of the office to contact us by phone rather than by email because confidentiality cannot be assured using email. The vast majority of users contact us by phone or walk-in, but 6% of our visitors contacted us by email in the last year. This reflects the ease of use of email and the 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 manner. 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.

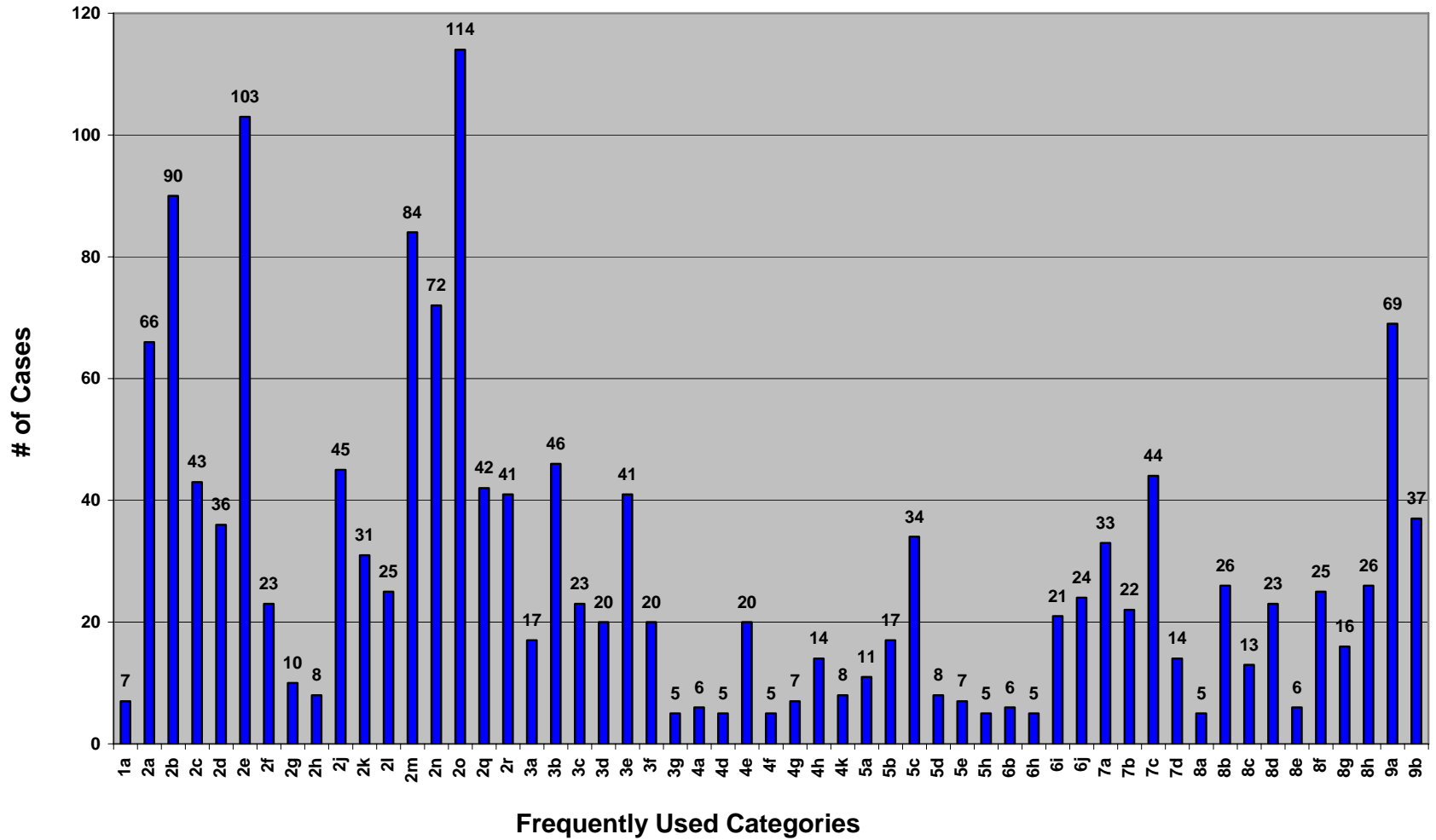


We have tracked the categories of concerns brought to the office in two different ways again this year. We have continued the use of UCSB-specific categories and we have also tracked concerns more broadly according to the categories recommended by the IOA. The results, as one might expect, are not in 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 as compared to supervisor/supervisee or faculty/student.

UCSB Categories



IOA 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 four 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 campus awareness (at least among the staff) of our existence and our role. The awareness of our office among faculty leaders appears to be increasing. 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
- Policy concern
- Civility/respect
- Unfair treatment
- Management effectiveness

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

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 involve evaluative relationships rather than peer relationships.

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

- Supervisory effectiveness
- Communication
- Respect/treatment
- Performance appraisal/grading
- Department climate

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 within 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 deals with values, ethics, and standards and includes, specifically, “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.” This area includes such topics as academic honesty, plagiarism, code of conduct, and conflict of interest. As a common category of concern among our visitors, category 9 brings to light the need for the application and fairness of standards within the institution as well as the need for creation or revision of such standards. When appropriate, we bring those concerns to the responsible officer or department for consideration. It is not within our purview to change policy, but it is appropriate to raise awareness of campus needs and concerns.

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. These cases involve facilitating a department meeting, retreat, or mediation. They involve a significant time commitment. 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 will continue to add resources to the website, but the basic design and structure should be relatively permanent. We have received feedback from the campus community that the website is very useful and easy to navigate. We worked to create a welcoming, friendly site that would reflect the character of the office.

This year the Ombuds staff again participated in trainings. Kirsi completed classes which allow her to take on roles ensuring separation of duties within the office. Both Summer and Kirsi provide back-up services for OEO/SH. In addition, Summer completed the Financial Management Certificate Program in 11-12.

Due to budget constraints, Kirsi did not attend the IOA Conference in 2012, but Priscilla was able to attend both the conference and a pre-conference session and has brought valuable and practical resources to be applied even more fully in the upcoming year.

We observed the following trends during the course of our case work this year:

- Concerns regarding administrative system changes that will be implemented on campus
- Budgetary challenges
- Increased awareness by departments of the need for strategies to deal with incivility
- Detrimental effects of academic bullying
- Faculty concerns about retention and recruitment and UCSB remaining competitive
- Faculty concerns about changes in teaching responsibilities due to budgetary constraints
- Student anxiety related to increased tuition and fees, less space in classes, and academic policies being more rigorously enforced
- Ongoing reorganization of a number of departments, resulting in confusion and increased levels of stress among staff
- Disciplinary actions related to staff - often involving increased pressure on managers and additional workload for other staff members

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 2012-2013

- Transition from the leadership of Priscilla Mori, who retired July 28, 2012, to the leadership of the new Campus Ombuds, Kirsi Aulin.
- Recruit for the Associate Ombuds position.
- Focus on outreach to the campus once the Office of the Ombuds is fully staffed.
- 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 re-start the book club as an annual club that reads the UCSB Reads book together.
- Continue to host TED Talk viewings and discussion on topics involving challenges and dilemmas regarding ethics, conflict, motivation and other issues related to the work of the Office of the Ombuds.
- Continue to attend campus training sessions to learn and remain current on campus policies and procedures.
- Continue to attend off-campus training opportunities and professional conferences to increase our knowledge and skills when it is both feasible and fiscally appropriate. We are sending Summer to the IOA Fundamentals course in 2012, and hope to send two people to the IOA conference in 2013.
- Continue to explore options to provide training for the campus, 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.
- 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)