



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

**2012-2013  
Annual Report**

**Kirsi Aulin  
Campus Ombuds**

During this fiscal year, we have continued to pursue our mission. We offer consultation services for conflict prevention, management and resolution that serve all members of the UC Santa Barbara community. We assist the campus community with the informal resolution of any University-related concern by offering a safe and confidential place to discuss these concerns, and by offering strategies and options for resolution. We also offer education and prevention services to assist in furthering campus climate improvement. We have again received support and feedback from an active Ombuds Advisory Committee as well as the Executive Vice Chancellor.

## **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, administrative or interpersonal 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 the highest standards

of practice for the field to ensure a high level of service, compliance with ethical standards and avoidance of legal difficulties. The Office is also committed to a prevention and education effort campus-wide.

## **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 chartered by UCSB to be an independent entity. To ensure objectivity, it operates independently of usual administrative authorities and is not an office of notice to the University. 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 offers a variety of consultation services such as mediation or strategic assessment of a situation that work informally to address conflict. 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.

## **II. 2012-2013 STAFFING AND ADMINISTRATION**

### **A. 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.

### **B. Website and Online Presence**

This year we have started to explore expanding our online presence within the bounds of our mandate for confidentiality. We have added a Facebook presence, creating the UCSB Office of the Ombuds informational page. We have kept the basic design and structure of our website, but have added an emergency contacts link to the home page. 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.

### **C. Professional Affiliation**

The professional organization we belong to is the International Ombudsman Association (IOA). This organization provides professional affiliation, training, and certification, as well as ongoing discussions on challenging topics in 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.

Kirsi is continuing to maintain her status as a Certified Organizational Ombudsman Practitioner (CO-OP) through the International Ombudsman Association.

### **D. Staffing**

Kirsi Aulin started as Campus Ombuds at the end of July, providing leadership and coordination of services in the office as well as running a recruitment for the new Associate Ombuds. She was the primary ombuds for 51% of our cases. She also participated with Summer and Caroline in providing training and presentations to the campus. This year she began work on a number of initiatives, including beginning the planning to develop an Education and Prevention Program for the Office of the Ombuds and the planning to host the First Annual Colloquium on Abrasive Conduct in the Academy scheduled for July 2013.

Caroline Adams – Joined the OO in March as Associate Ombuds, and has served as primary ombuds for 16% of cases. Caroline also gave presentations to the campus and has spearheaded developing new presentations and trainings to offer the campus as part of the Education and Prevention Program.

Bill Forgie served as Faculty Ombuds, dealing primarily with cases involving faculty and graduate students, and was primary ombuds for 7% of our cases this year. After many years of distinguished and dedicated service in the Office of the Ombuds, Bill retired at the end of March. We anticipate that Michael O'Connell, Emeritus Professor of English will begin as Faculty Ombuds in October 2013.

Summer Turner was reclassified from Analyst and Intake Coordinator to Assistant Ombuds in the Fall Quarter, and served as primary ombuds for 27% of our visitors, and continued to serve in an administrative support role (as outlined below).

### **E. Administration**

Kirsi provided administrative oversight, and Summer Turner provided administrative support for our office. Both continued gaining experience and knowledge of campus systems. Summer handled an administrative workload that included the following:

- Provided travel arrangements for office staff as needed
- Updated the database
- Prepared statistical reports as needed
- Coordinated arrangements for the Ombuds Advisory Committee and prepared meeting notes

- Completed financial transactions and maintained appropriate departmental documentation
- Both Summer and Kirsi provided back-up administrative services for OEO/SH.

### **F. Training Received:**

Training and related professional activities are essential in order for us to be able to provide the highest level of quality in our service to the campus community. It behooves us to be informed of the changing legal landscape and standards of practice for the sake of the integrity of the university.

However, this year, due to budget constraints, most of the training attended was offered on campus, and was related to new systems implementation. Specific professional Ombuds trainings were kept to a minimum: Coaching Abrasive Leaders for Kirsi, the International Ombudsman Association Annual Conference for Kirsi, Summer and Caroline and the IOA Fundamentals course for both Summer and Caroline.

### **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 2012-2013:

- Roane Akchurin, staff representative
- Katya Armistead, staff representative
- Melissa Barthelemy, graduate student representative
- Mike Jochim, faculty representative
- Linda Putnam, faculty representative
- Andrea Valenzuela, undergraduate representative

Ex-officio members during 2012-2013:

- Caroline Adams, Associate Ombuds
- Kirsi Aulin, Campus Ombuds
- Bill Forgie, Faculty Ombuds
- Summer Turner, Assistant Ombuds

### III. CASES AND OTHER SERVICES

#### A. Outreach

We engage in outreach in a variety of ways. A new initiative this year is a Listening Tour of Campus Stakeholders: Kirsi has individual meetings with campus stakeholders to hear about their perspectives on the campus community as well as any concerns they might have. The meetings conducted thus far have included: the Executive Vice Chancellor, 4 Vice Chancellors, 2 Assistant Vice Chancellors, 8 Deans, 3 Assistant Deans and 7 Directors, among others.

In addition, we have:

- Hosted an open house during Staff Appreciation Week to introduce staff to our services
- Hosted introductory meetings with campus administrators who are new to their roles
- Made presentations to new student orientation staff, resident directors, and resident advisors
- Made presentations to new chairs, and to College and Divisional meetings
- Provided material in new staff orientation trainings
- Provided material in new student orientation packets
- Provided office information in the General Catalog and the quarterly Schedule of Classes
- Maintained and updated our website with an array of information and resources
- Launched a Facebook informational page – UCSB Office of the Ombuds

#### B. Service and Committees

*Kirsi Aulin*

- Financial Aid Advisory Committee
- Threat Management Team
- Cottage Hospital Grand Rounds
- New Student Convocation – Platform Party
- Co-founder and co-convenor of the Committee preparing to launch the Annual Colloquium on Abrasive Conduct in the Academy in July 2013

#### C. Education and Prevention Program

This year, we offered a limited number of trainings by departmental request due to our limited staffing. These included presentations for:

- Associate University Librarians
- Student Leadership Development
- Professional Women's Association
- ABOG
- Facilities Management
- ISBER

Though we have always offered trainings by departmental request, this year we have begun the planning for rolling out a broader program of education. The purpose of this educational initiative is to increase awareness of common campus difficulties, provide tools and strategies for addressing these difficulties and thereby both positively impact the campus climate and help prevent future conflict.

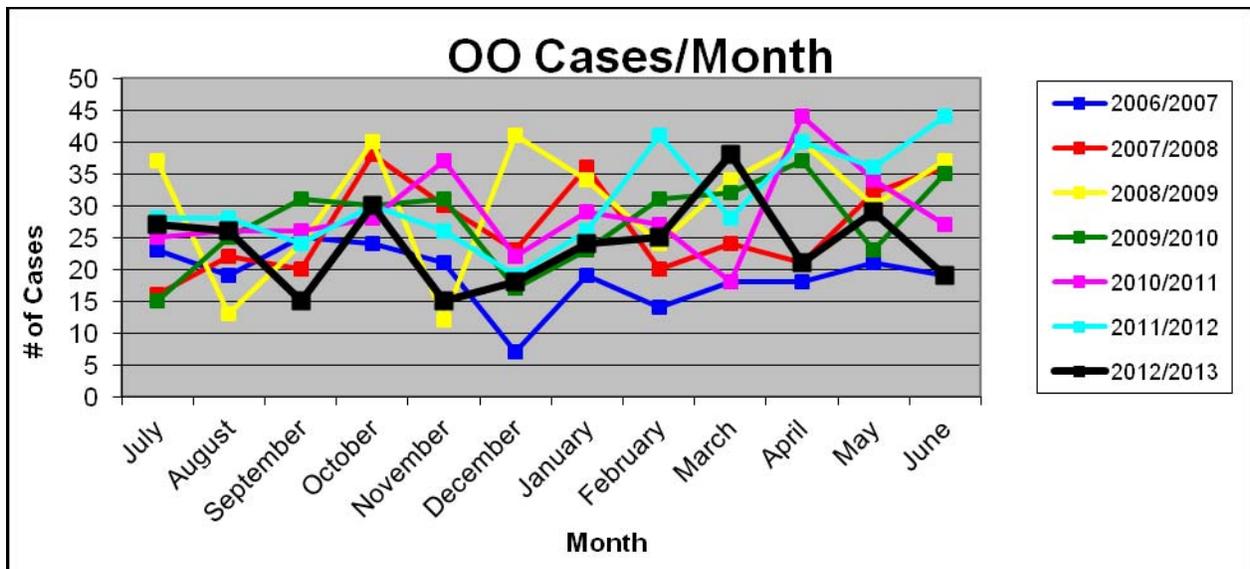
#### **D. Casework**

When a visitor comes to our office with a concern, we assign a case number for that concern. In the course of working with the initial visitor regarding this concern, we may well work with multiple other people and departments. So our case numbering system is representative of the number of topics that we work with each month and year, and does not capture the total number of people involved in creating a resolution, nor does it capture the number of people who have benefited from our work. We also assign user status and contact method based on the initial visitor who contacts our office.

In the course of this year, we handled 287 cases. The average number of cases per year over the last eight years has been 309. This was an expected decrease based on reduced staffing levels, and hence reduced staff availability for almost the entire fiscal year.

#### **2012-2013 Case Totals by Month**

July	27
August	26
September	15
October	30
November	15
December	18
January	24
February	25
March	38
April	21
May	29
June	19



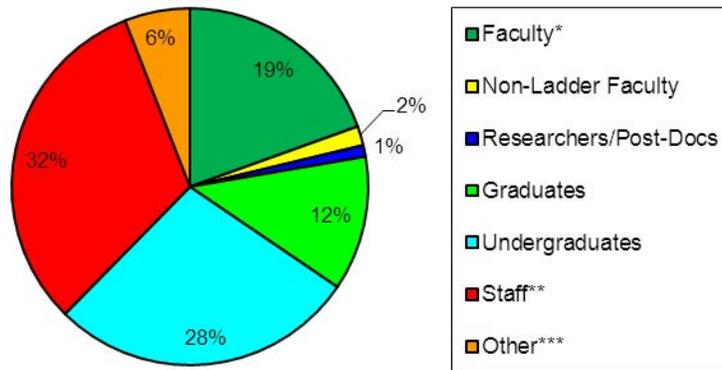
Staff members comprised 32% of our visitors, an increase of 1% from the year before (31% in 11-12).

19% of our visitors were faculty, which is nearly the same percentage seen the previous year. (Since user status represents only the initial visitor to our office, this percentage does not reflect our estimate that (faculty members are directly or indirectly involved in approximately 50% of our cases.)

Student visitors this year amounted to 40% of our visitors; 28% were undergraduates and 12% graduate students. In 2011-2012, 39% of our visitors were students; 26% 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. This includes parents, community members, alumni, donors, etc. The percentage of other users was 6% this year, a decrease of 2% from 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.

## User Status



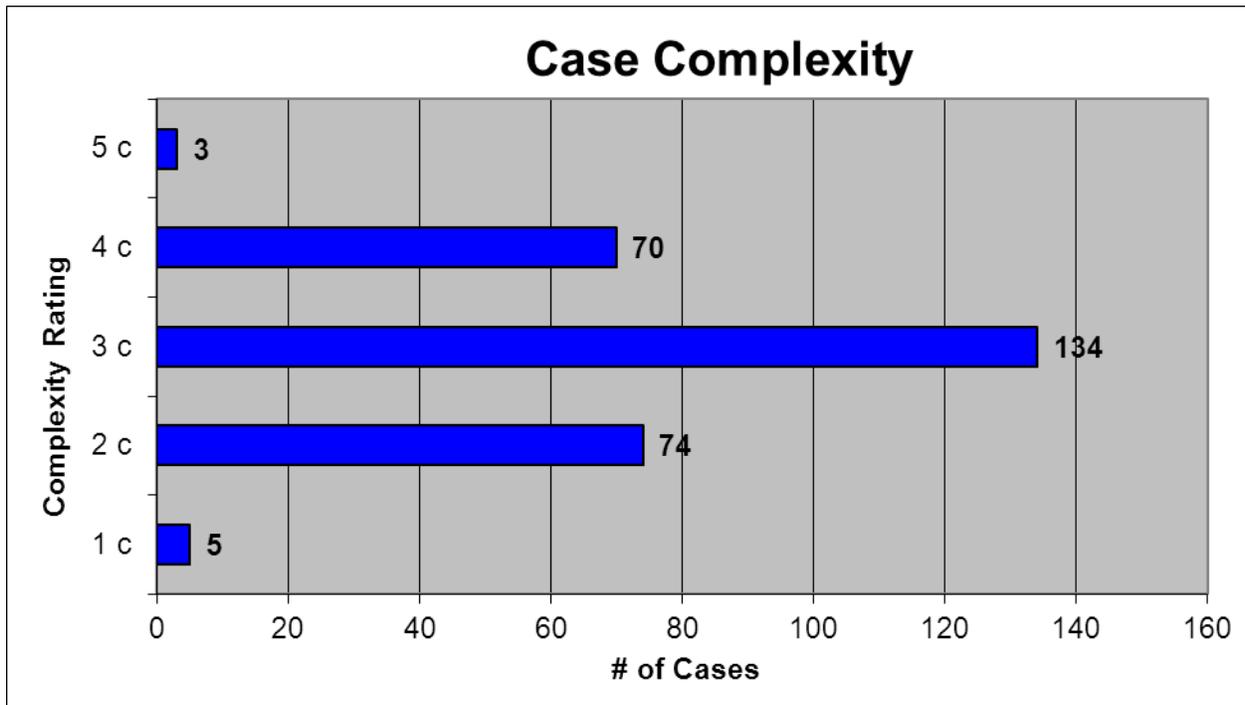
*\*"Faculty" includes Administrators & Department Chairs*

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

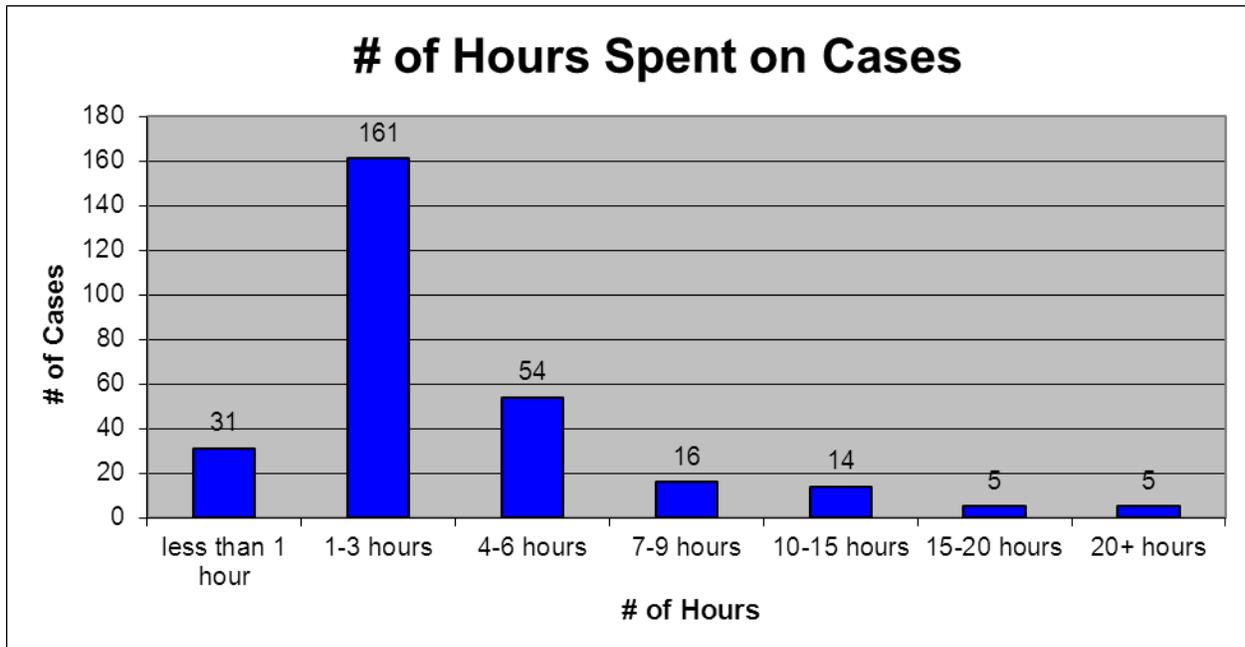
*\*\*\*"Other" includes Parents, Community Members, and other Users of the Office*

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 32% knew about us from years of experience on campus, through their own experience with our office, or from knowledge of members of our staff. A significant number of individuals - 33% - were referred to us by a campus employee, office or service. 9% learned about us through our website and 3% learned about us through our publications or presentations.

The complexity of cases is based on a combination of factors including level of risk both to the campus as a whole and to the individual, impact on the campus or impact on individuals other than the visitor. Case complexity is rated on a one to five scale, with 1 indicating least complex and 5 indicating most complex cases. The number of hours spent on each case is not necessarily comparable to the complexity of the case, but it often correlates. This year we experienced a larger proportion of cases with a complexity of 3 or above – 72%. In past years, around 50% of our cases were at 3 or above. Quite predictably, case complexity is a bell-shaped curve, with the greatest number being in the range of moderate complexity.

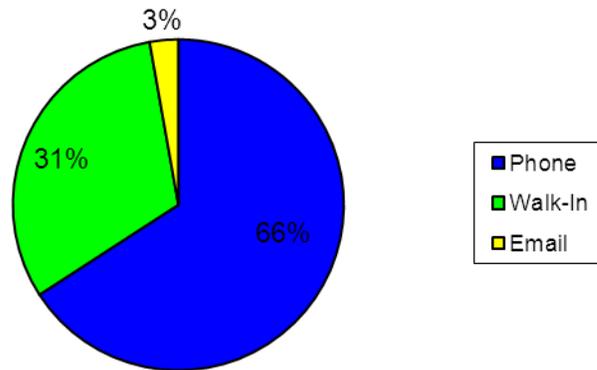


The number of hours spent on cases also increased this year, with 33% of our cases requiring more than three hours of our time. Usually about a quarter of our cases requires extended time. Generally this means that we are exceeding three meetings or conversations for the disposition of the case. Clearly, a significant number of cases are not quickly or easily resolved.



We encourage visitors of the office to contact us by phone rather than by email because confidentiality cannot be assured using email. The vast majority of visitors contact us by phone or walk-in, but 3% 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. 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



*[Although we did see 287 cases last year, the percentages for case complexity (page 10) and number of hours spent per case (page 11) are calculated as if we had seen only 286 cases.]*

### **E. Visitor Concerns:**

We have tracked the categories of concerns brought to the office in two different ways again this year. We have continued the use of broad UCSB categories, and we have also tracked concerns in a more fine-tuned way 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 visitor concerns according to the nature of the relationships of those involved. For example, we can track issues between colleagues or peers in different categories than supervisor/supervisee or faculty/student.

Of the broad UCSB categories we use to define topics of concern to our visitors, the following are the most common:

- Policy concern
- Strained relationship
- Unfair treatment
- Civility/respect
- Staff conduct

Most visitors have a “presenting issue” (e.g. grade dispute, performance evaluation, interpersonal conflict) but also have various underlying issues, such as management

effectiveness, faculty conduct, or policy concern. When we track categories, we note as many categories per case as seem relevant for each case.

In parallel, we use IOA categories, which provide a more specific breakdown of the types of visitor concerns. The IOA categories allow us to separately see data from cases involving evaluative relationships and cases involving peer relationships. From the IOA categories we know, for example, that 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
- Performance appraisal/grading
- Respect, treatment
- Communication
- Priorities, values, beliefs

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

- Respect/treatment
- Communication
- Bullying, mobbing

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 issues related to administrative decisions are brought to our office because those who avail themselves of our services are often feeling they are without options within the university. This area also illustrates that there is often a power differential that requires navigation on the part of the staff, student or faculty, even if there is no direct evaluative relationship between the persons involved.

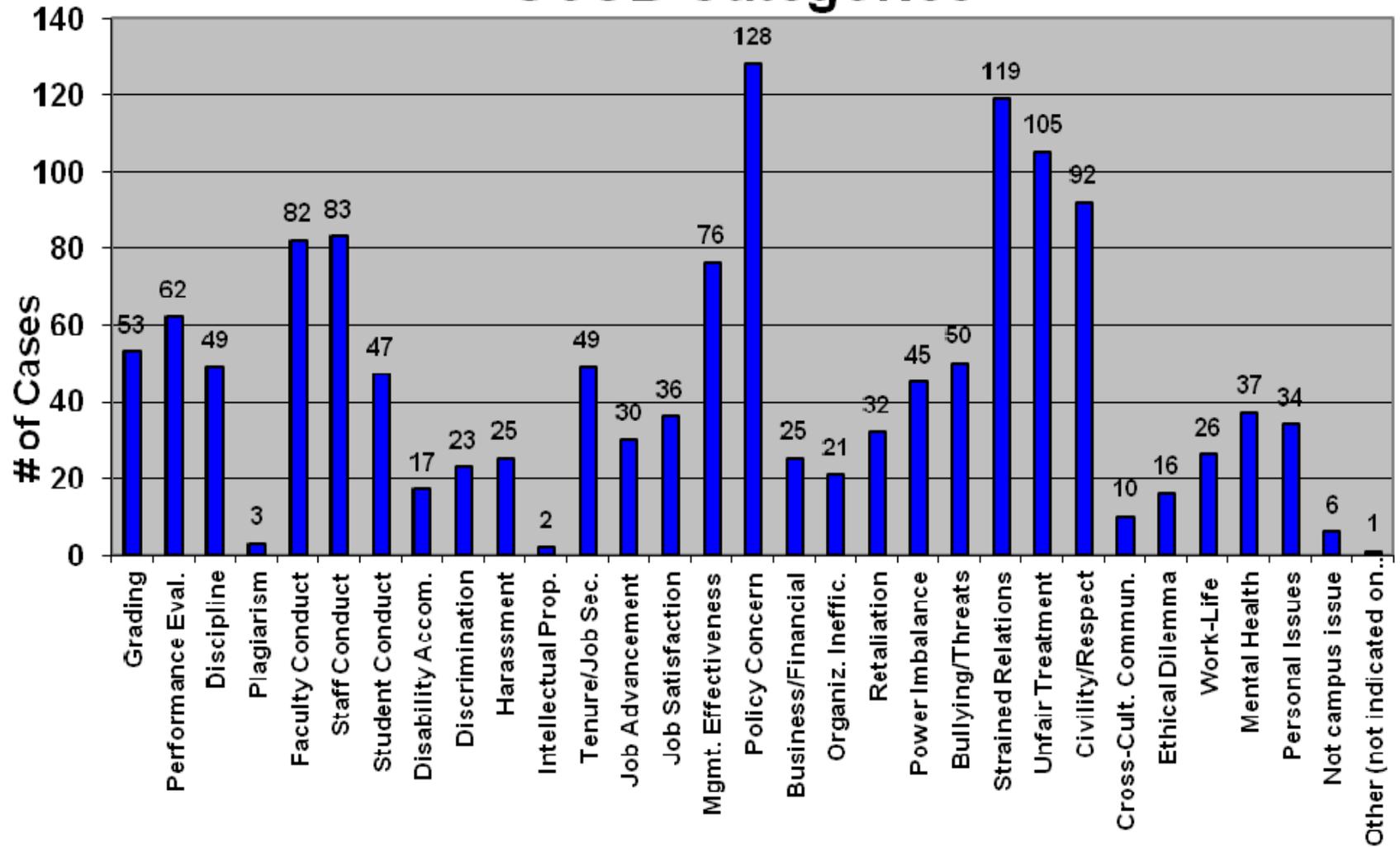
IOA category 9 deals with values, ethics, and standards and includes, specifically, “questions, concerns, issues, or inquiries about the fairness of organizational values, ethics, and/or standards, the application of related policies and/or procedures or the need for creation or revision of policies 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 university and from time to time the need for the 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 entire departments for consultation. These cases involve services such as 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

we often consult on issues involving communication, trust, and building a collegial department climate.

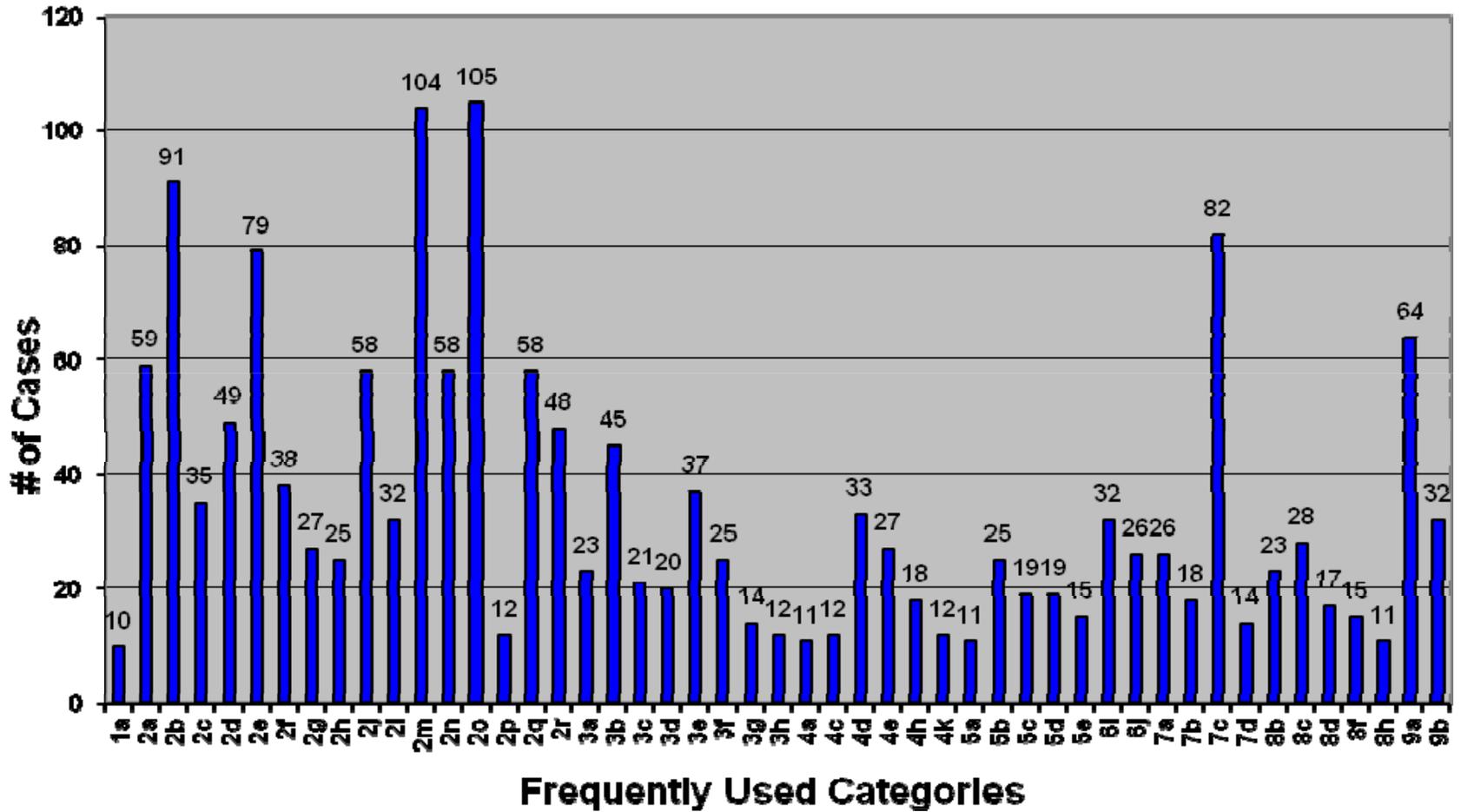


# UCSB Categories



Frequently Used Categories

# IOA Categories



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

#### **IV. OBSERVATIONS AND INTERPRETATIONS**

There are multiple paths to our services, and many visitors who come are repeat users, know one of the Ombuds, or have been referred by friends or other offices on campus. Referrals from others indicate to us that there is campus awareness and appreciation of our existence and our role. I believe the effectiveness of our service is a great asset—people come back and refer their colleagues and friends.

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

- Continuing concerns regarding administrative system changes that will be implemented on campus
- Ongoing budgetary challenges
- Increased concern about organizational values connected to identity-related differences, especially gender and race
- Increased awareness by departments of the need for strategies to deal with incivility
- Increasing awareness of the detrimental effects of academic bullying
- Ongoing reorganization of a number of departments, resulting in confusion and increased levels of stress among staff

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.

#### **V. PLANS FOR 2013-2014**

- Continue to provide high quality service to the UCSB community consistent with IOA Standards of Practice
- Continue with the Listening Tour of Campus Stakeholders
- Michael O'Connell will join us as Faculty Ombuds in October 2013.
- Begin rolling out the Education and Prevention Program, partnering with other campus entities when appropriate
- Co-Convene and Host the First Annual Colloquium on Abrasive Conduct in Higher Education in July 2013
- Continue to meet one-on-one with campus administrators to initiate relationships and provide support and referral services.
- 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 will be sending our new Faculty Ombuds, Michael O'Connell, to the IOA Fundamentals course in 2013, and hope to have all our staff attend the IOA Annual Conference in 2014)
- Continue to attend campus training sessions to learn and remain current on campus policies and procedures
- Continue to share our resources (such as books from a small lending library and information about campus and community resources)

- 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

# 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)

### 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)

### 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)

### 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)

**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)