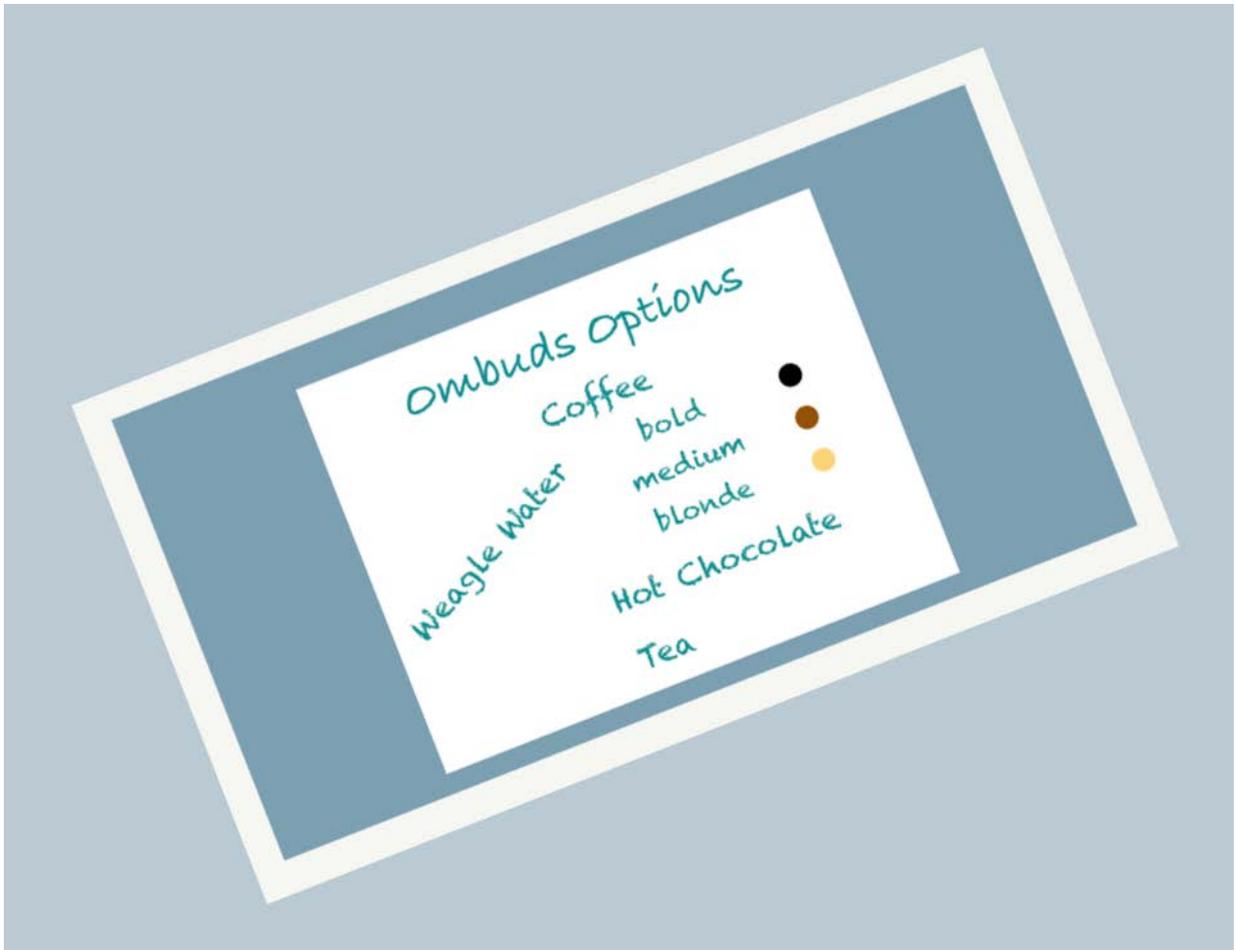


OFFICE OF THE OMBUDSPERSON

2018/2019 ANNUAL REPORT



C. KEVIN COONROD
OMBUDSPERSON
AUBURN UNIVERSITY
ombuds@auburn.edu
(334) 844-7170
Quad Center, Suite 005

Table of Contents

I. Introduction.....	3
II. Confidentiality.....	3
III. Statistical Report.....	7
IV. Selected Accomplishments.....	25
V. Professional Organizations, and Selected Conferences Attended.....	25
VI. Educational Outreach.....	26
VII. Community Service.....	26
VIII. Conclusion.....	26
Attachment: IOA Uniform Reporting List.....	28

I. INTRODUCTION

The Office of the Ombudsperson helps office visitors negotiate difficult problems encountered while at Auburn University. The ombuds has many tools available in this endeavor, including giving policy guidance, making referrals, coaching, strategizing, and mediating. This annual report will highlight the importance of ombuds confidentiality in achieving those goals, thus contributing to the health and productivity of the Auburn University community.

The ombudsperson saw 305 new visitors during the academic year, 2018 – 2019, plus numerous repeat visitors as they worked toward resolution of their issue. This marked a slight increase of new visitors from the previous year, and continued a significant increase from this author's first year at Auburn, when 183 new visitors were assisted. During this year, more staff and A & P visitors were seen than faculty members. The percentage of staff and A & P members seen, 45%, and the faculty members seen, 35%, was a reversal of the 45% faculty and 35% non-faculty employees seen the year before. The number of students who visited, 53, continued to be a slight increase over prior years.

Complaints heard by the ombudsperson again were dominated by interpersonal disputes and affronts. Communication, respect, and trust and integrity issues were prominently discussed, just as in previous years. There was a marked decrease in claims of bullying, however, from the prior year. In 2017/2018 there were 61 complaints about bullying or perceived bullying behavior, compared to only 38 in 2018/2019. This statistic is hopefully a harbinger of a downward trend for this destructive behavior in future years. Diversity of visitor constituents increased again, with 13% of all visitors Asian, 12% Black or African American, and 3% Hispanic.

The Auburn University Office of the Ombudsperson practices under the Code of Ethics and Standards and Practices of the International Ombudsman Association. Pursuant to those ethics, the ombudsperson operates under four interrelated principles: 1) Independence; 2) Neutrality; 3) Confidentiality; and 4) Informality. This report will discuss the important ethical requirement of confidentiality.

Set forth after that discussion is a non-confidential statistical report of issues and demographics heard and seen by the ombuds. Concluding the report will be lists of accomplishments, involvement with professional organizations, and educational outreach designed to help our university members work together more amicably and cohesively.

II. CONFIDENTIALITY

Auburn University community members visit the ombuds office because they know they can discuss important matters without worrying about others hearing of the meeting or details of the conversation. Because of that trust, visitors can confidently lay out all facts underlying their problem and then brainstorm strategies and options with the ombudsperson to address their challenges.

Of the four foundational cornerstones that underlie an effective organizational ombudsperson program, the most sacrosanct to most office visitors is that of confidentiality. The ombuds office is a safe place where people can discuss problems with a neutral, non-judgmental third party, without fear of their words or identity being divulged. Maintaining office visitor confidences is one of the many ways the ombudsperson creates and perpetuates trust in his or her office, and it is usually the most crucial for the office visitor.

Sensitive issues frequently listened to by the ombudsperson include employee claims of bullying by a supervisor or colleague; students having respect and communication problems with professors; students needing to discuss misconduct allegations or academic honesty charges brought against them; and individuals seeking a non-judgmental, empathic ear or wanting to learn their options after assaultive, discriminatory, or harassing actions have been perpetrated against them. Most of these visitors are concerned with inherent power issues and fear reprisal. They want to be heard and are looking for ways to resolve their conflict, safely.

The ombudsperson's promise of confidentiality allows for a free-flowing conversation between ombudsperson and office visitor and ensures the opportunity to discuss matters frankly and productively. Many of those individuals would not have visited the ombudsperson without the security of a promise of confidentiality and, without which, may have been adrift without guidance when attempting to plan next steps by themselves. This underscores the value of the ombudsperson office. It is a safe place to discuss serious issues without fear of repercussion.

Ombuds confidentiality is provided for in Auburn University policy through the Charter of the Office of the Ombudsperson ("office charter"). Per Section II of that document, "The Ombudsperson Office listens to questions and concerns about individual situations or broader systemic issues and, with limited exceptions, keeps them confidential. The exceptions to confidentiality occur when: 1) the individual authorizes the Ombudsperson to relate to others information imparted by that individual, or; 2) where, in the judgment of the Ombudsperson, a threat of imminent and serious harm to a person or property exists; or, 3) where expressly required by law."

The exceptions to confidentiality listed above are extremely limited. The Auburn University ombudsperson may contact appropriate authorities when, in his or her judgment, a threat of serious and imminent harm to person or property exists. Additionally, confidentiality cannot be enforced when the ombuds is expressly required by law to speak. The office visitor of course can authorize the ombuds to speak to an agreed-upon individual. When permission is given, the office visitor can designate to whom the ombuds can speak and limit what is said. Moreover, if the visitor changes his or her mind after granting permission, the authorization can be revoked at any time up and until the ombudsperson would otherwise speak.

In the event the ombuds is served a subpoena to testify in a court of law or other judicial proceeding, the office charter mandates that the ombuds resist the subpoena. Whomever is serving as Auburn's ombudsperson must challenge the subpoena in court and cannot testify in a government court proceeding without either a court order compelling him or

her to testify, or without the agreement of all parties who visited the ombuds under the protective umbrella of confidentiality. Even with the agreement of all parties, the ombuds retains discretion to decline to testify absent a court order requiring him or her to do so. Such an order is an example of the ombuds being expressly required by law to reveal confidences, mentioned in the preceding two paragraphs.

There is a definitional difference between “confidentiality” and a “legal privilege” not to testify in a court of law. Generally, “confidentiality” pertains to an agreement not to make statements to any person, anywhere, and at any time, unless otherwise ordered by a court. “Privilege” refers to statutes providing that a person may not be forced to testify or turn over documents in the course of a judicial proceeding. Examples of such statutes are attorney/client, counselor/patient, and priest/penitent privileges. There is no statutory privilege against testifying in Alabama for an ombudsperson, *per se*, but there is a Mediator Confidentiality Act.

If the ombudsperson’s work falls within the ambit of the Alabama Mediator Confidentiality Act, state law dictates that the ombuds may not be forced to testify or turn over documents relating to a mediation in “any adversary proceeding or judicial forum.” Ala. Code § 6-6-25(c). This particular statute applies to conflicts addressed in a mediation process without an underlying adversary or court action in existence. The prohibition against testimony would then apply to an action filed subsequently to the mediation process.

Public policy in Alabama “encourages public confidence in the use of alternative methods of dispute resolution by preventing a mediator from being compelled to testify or produce documents about a mediation.” Ala. Code § 6-6-25(b). In the Act, a mediator is defined as a “neutral third party conducting a mediation.” Ala. Code § 6-6-25((a)(2). “Mediation” is broadly described in the Act as a “process in which a mediator acts to encourage and facilitate the resolution of a dispute without imposing a settlement.” Ala. Code § 6-6-25(a)(1). The Auburn Ombudsperson is expressly defined as a neutral, informal third party in the office charter. In that capacity, the ombuds assists office visitors resolve disputes without any authority to impose a settlement on him, her, or them.

The present AU ombuds is a trained and experienced mediator, formerly certified by the Washington Mediation Association and now a member in good standing on the Alabama State Court Mediator roster. Office visitors undergo an active listening, strategizing, and coaching process with the ombuds, regardless of whether a second or third party to the dispute is involved. The purpose is to help the ombuds’ office visitor resolve his, her, or their conflict on their own, hopefully by empowering themselves through the ombuds’ process.

As part of that practice, the ombuds assists office visitors break down problems, identify and explore all parties’ interests and analyze their positions, and brainstorm different possible resolutions from which the visitor(s) may choose to pursue to meet their needs. During this process, those facts which prompted the visitor to see the ombuds are discussed and then those statements and facts are transitioned into an option-generating discussion. The goal for this regimen is to ultimately move the visitor(s) into an acceptable strategy for establishing a workable, productive future for themselves in the

context of the dispute. Understanding past facts and interests, discussing them in the present, and then looking toward the future to satisfy the needs of all parties is part and parcel of this dispute resolution process.

The ombuds rarely knows whether an initial office visit will result in engagement with parties other than the original office visitor. He or she thus approaches each visitor neutrally and confidentially, per the provisions of the office charter and in the event the possibility of one or more other persons joining the process becomes a reality. This way, the ombuds' ethical principles of confidentiality, informality, and neutrality to all parties are always maintained. This is a solid example of ombudsman ethical precepts working together to provide a secure place for troubled individuals to safely seek assistance.

The ombudsperson has stressed in previous annual reports, the office charter, orally, and numerous other writings that the Office of the Ombudsperson is not an agent of notice for Auburn University.

In part because of the ombuds' role as a confidential listener, he or she is not an agent of notice of Auburn University. This is an important point for all office visitors to know. Due to the ethical principles of informality and independence the ombuds is not a university official or agent. Stories confided in confidentially with the ombudsperson that contain the elements of a legal cause of action, a grievance, or other complaint do not become known to the university. Thus, any legal duty the university may have to investigate or mitigate is not triggered when the ombuds is apprised by an office visitor of a complaint against the university or university personnel. The ombuds keeps this information confidential, but does not act as an obstacle to the proper filing of such a complaint. At the office visitor's request, the ombuds can make referrals and assist the visitor in speaking with an appropriate agent of notice.

Similarly, the ombuds has no speaking authority for the university. As an independent and informal office, the ombuds is not an administrator and cannot make representations on behalf of the university or bind the university to any agreements other than through the regular course of operating the ombuds office. The ombuds does not repeat statements given in confidence by administrators as well unless one of the aforementioned exceptions exists. For these and other reasons, the confidential ombuds is not a proper source for media requests.

The ombuds can give trend reports to appropriate administrators to help them assess whether systemic change is needed or desired. These reports are given without divulging the identity of office visitors or facts from which their identities can be ascertained.

The ombuds takes practical measures to preserve confidentiality and does not keep records on behalf of the organization. He or she may take notes during office visitor meetings but shreds them when they are no longer needed. Notes that haven't yet been disposed of are kept under lock and key. The ombuds does not retain documents or records other than statistical compilations reflecting visitor demographics and categories of subjects discussed. These statistics aid in publishing each year's annual report.

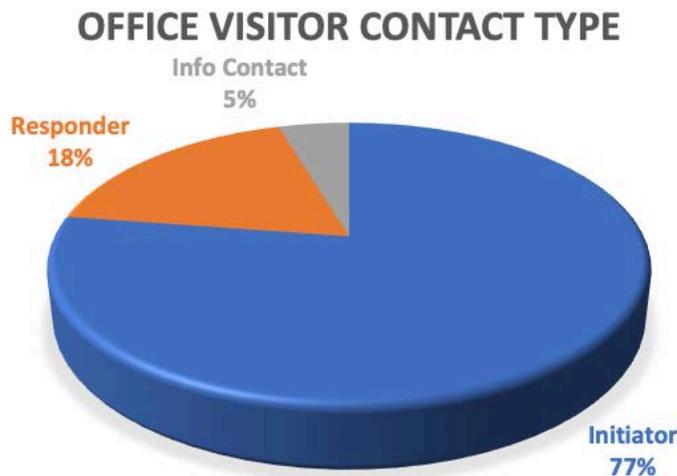
Finally, the ombuds refrains from greeting office visitors when they are encountered in public, unless acknowledged first by the visitor. Exceptions are for people the ombuds normally sees, and is seen with, in public places on matters other than ombudsperson business.

The effectiveness of the ombuds office is founded on trust. The promise of confidentiality is given in exchange for an office visitor's agreement to courageously and vulnerably reveal personal, often emotional, and consequential information. Betrayal of that confidence will breach the ombuds' promise to the office visitor and the community as a whole. Adhering to the covenant of keeping statements and identities in strict confidence will enable the ombuds to help that person and others in the future, thus contributing to the overall health of the organizational society.

III. STATISTICAL REPORT

The following report consists of charts and statistical information regarding the different types of visitors and issues presented to the Ombudsperson office. The information contained in this report is purposely general so as to maintain the confidentiality of statements made by office visitors to the Ombuds. The issue categories are derived from the International Ombudsman Association's Uniform Reporting Categories, a copy of which is attached to this report.

NEW OFFICE VISITORS¹



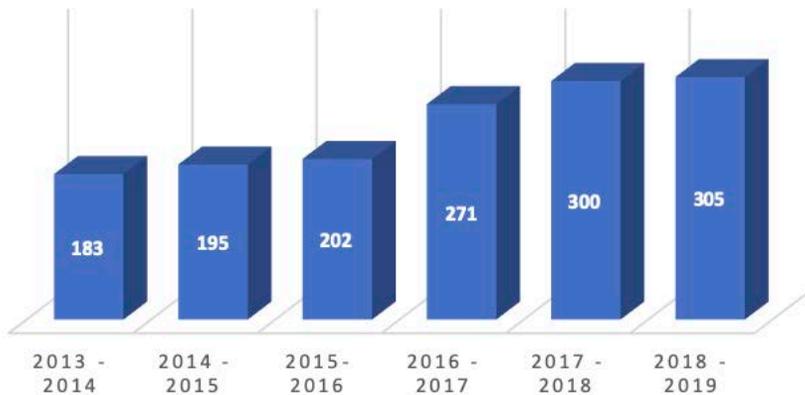
¹ "New office visitors" are defined as visitors who bring an initial new matter to the ombuds office. The office visitor can be a repeat visitor, but does not appear statistically in this report unless the subject matter of the subsequent visit arose from a new set of facts and circumstances. For purposes of this report, multiple succeeding appointments regarding the same facts and circumstances are not counted.

Types of Visitors	Number	Percentage
Initiators	236	77%
Responders	55	18%
Information Contact	14	5%
Total	305	100%

Six-Year Retrospective of Office Visitors

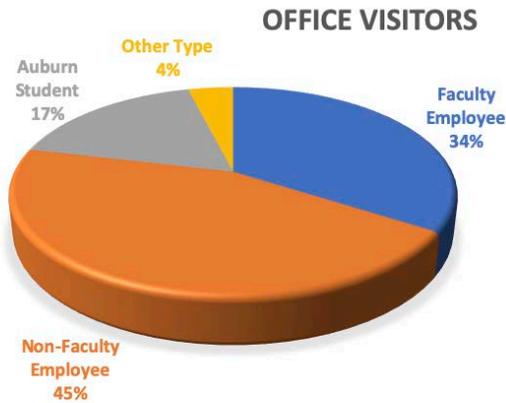
The ombuds office continued to see an increase in new office visitors over the previous academic year, albeit slightly. “New office visitors” are defined as visitors who bring a new matter to the ombuds, as described in the footnote, above.

OVERALL OFFICE VISITORS SIX-YEAR REVIEW

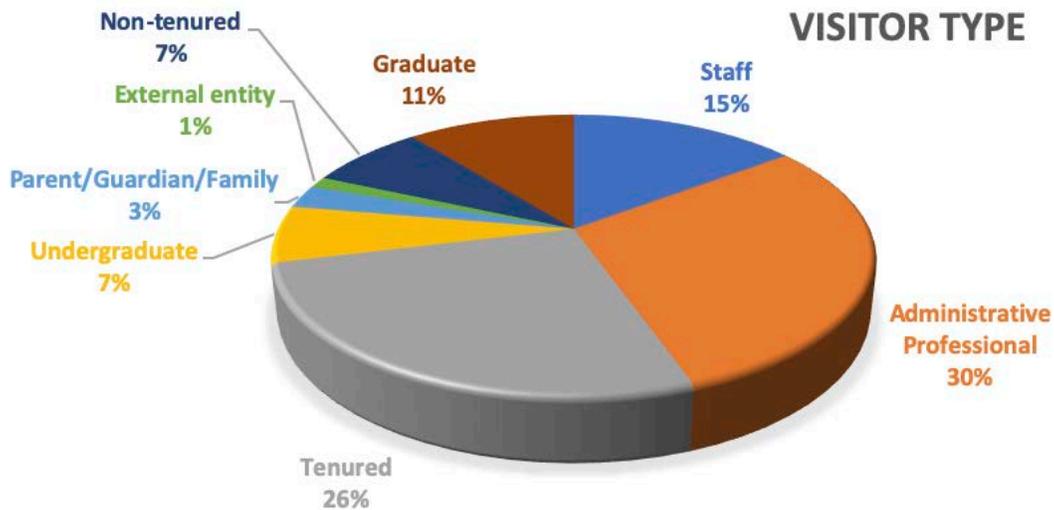


6-Year Retrospective of Visitors	Number
2013 - 2014	183
2014 - 2015	195
2015 - 2016	202
2016 - 2017	271
2017 - 2018	300
2018 - 2019	305

2018-2019 Office Visitor Statistics



Visitor Classification	Number	Percentage
Non-Faculty	136	45%
Faculty	104	34%
Students	53	17%
Other	12	4%
Total	305	100%



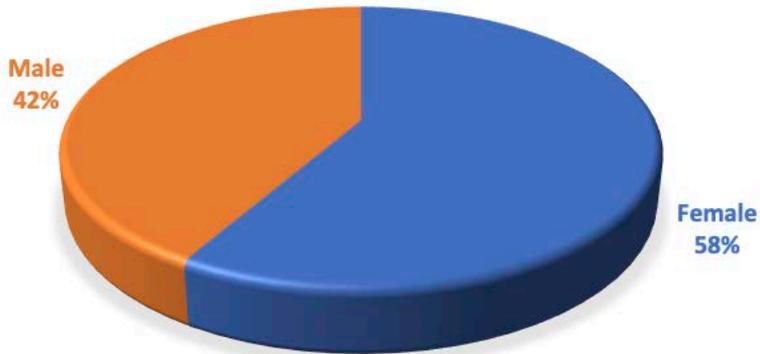
Office Visitors Expanded	Number	Percentage
Administrative & Professional	91	30%
Tenured Faculty	81	26%
Staff	45	15%
Graduate Students	33	11%

Office Visitors Expanded	Number	Percentage
Non-tenured Faculty	23	7%
Undergraduates	20	7%
Parent/Guardian/Family	8	3%
External entity	4	1%
Total	305	100%

DEMOGRAPHICS

GENDER

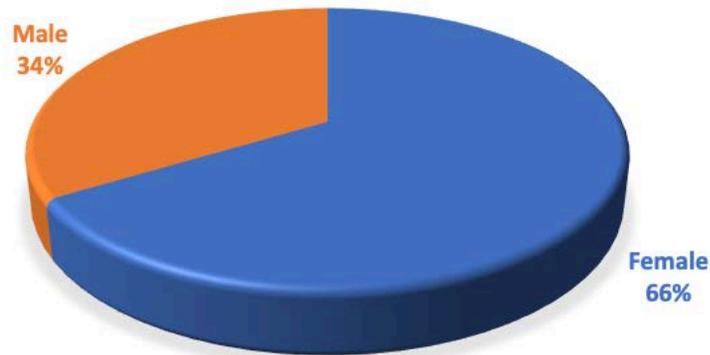
OVERALL GENDER



Gender - All visitors	Number	Percentage
Female	178	58%
Male	127	42%
Total	305	100%

Faculty Gender

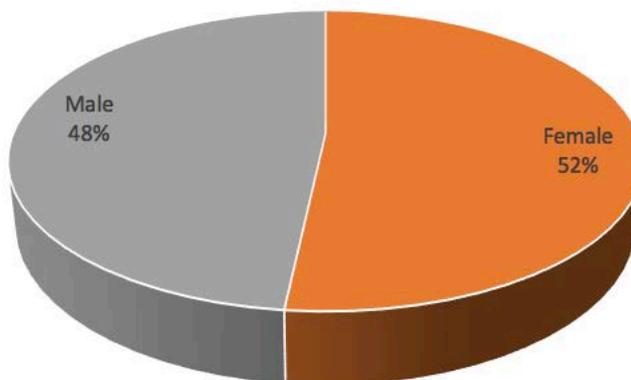
OVERALL FACULTY GENDER



Gender - Faculty	Number	Percentage
Female	69	66%
Male	35	34%
Total	104	100%

Tenured Faculty Gender

Tenured Faculty

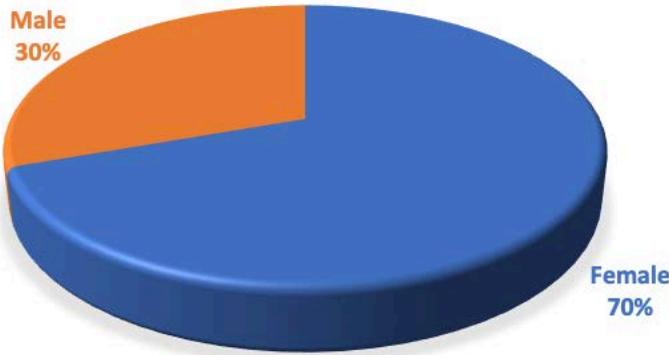


Gender - Tenured Faculty	Number	Percentage
Female	53	52%

Gender – Tenured Faculty	Number	Percentage
Male	28	48%
Total	81	100%

Non-Tenured Faculty Gender

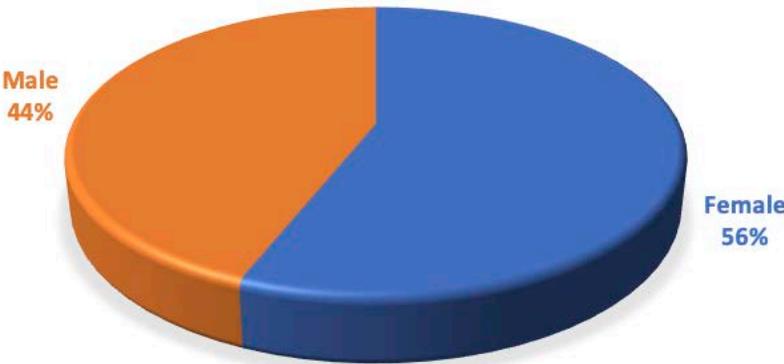
NON-TENURED FACULTY



Gender – Non-Tenured Faculty	Number	Percentage
Female	16	65%
Male	7	35%
Total	23	100%

Administrative & Professional Gender

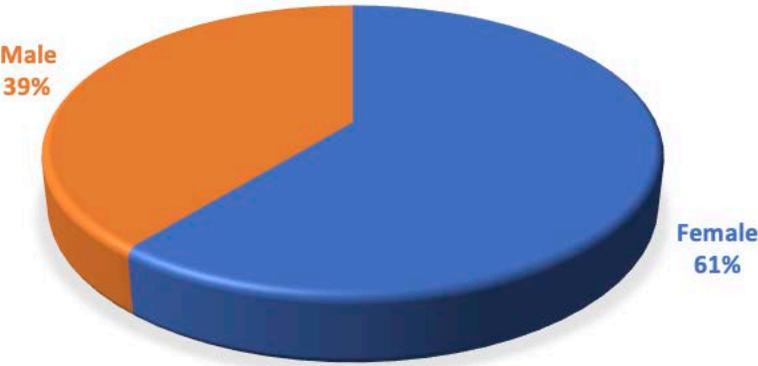
A & P GENDER



Gender - A & P	Number	Percentage
Female	51	56%
Male	40	44%
Total	91	100%

Staff Gender

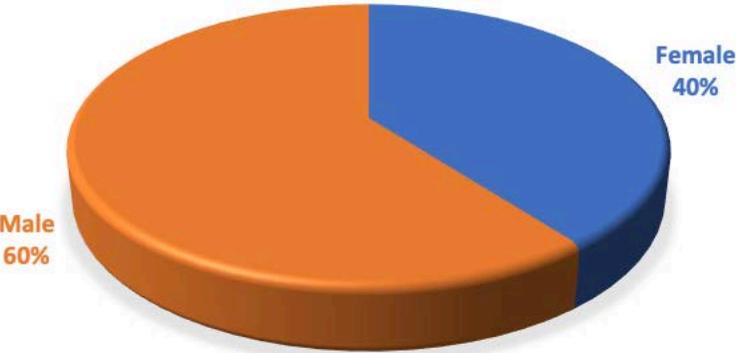
STAFF GENDER



Gender - Staff	Number	Percentage
Female	28	61%
Male	18	39%
Total	46	100%

Student Gender

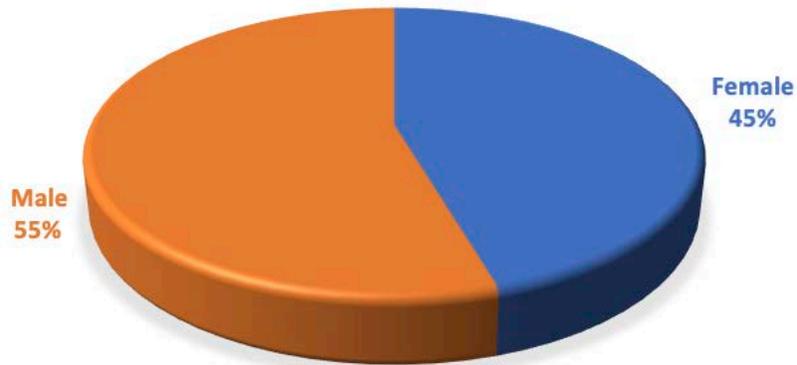
OVERALL STUDENT GENDER



Gender – Students	Number	Percentage
Male	32	60%
Female	21	40%
Total	53	100%

Graduate Student Gender

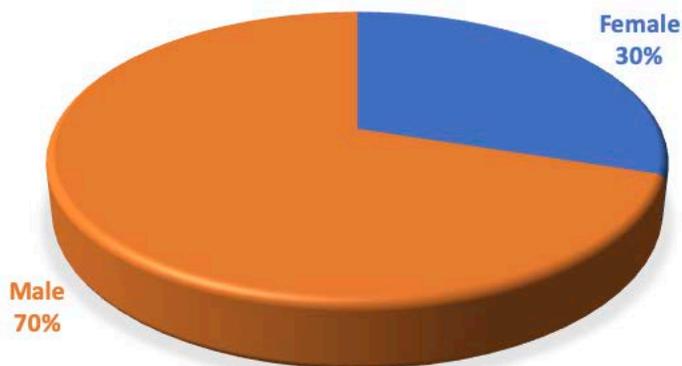
GRADUATE GENDER



Gender – Graduate Students	Number	Percentage
Male	18	55%
Female	15	45%
Total	33	100%

Undergraduate Student Gender

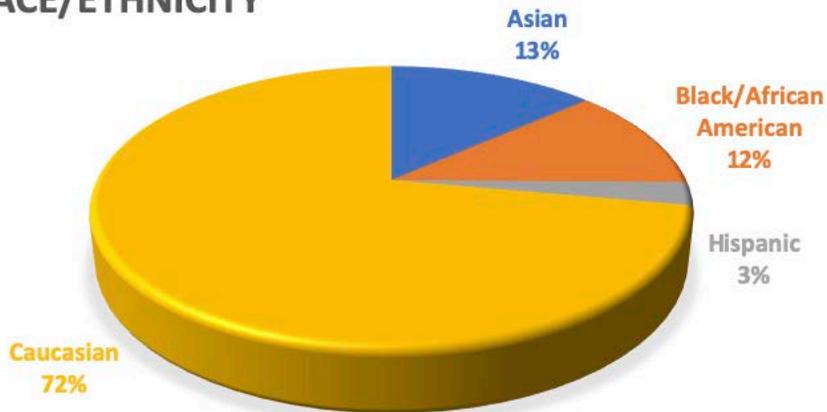
UNDERGRADUATE GENDER



Gender – Undergraduate Students	Number	Percentage
Male	14	70%
Female	6	30%
Total	20	100%

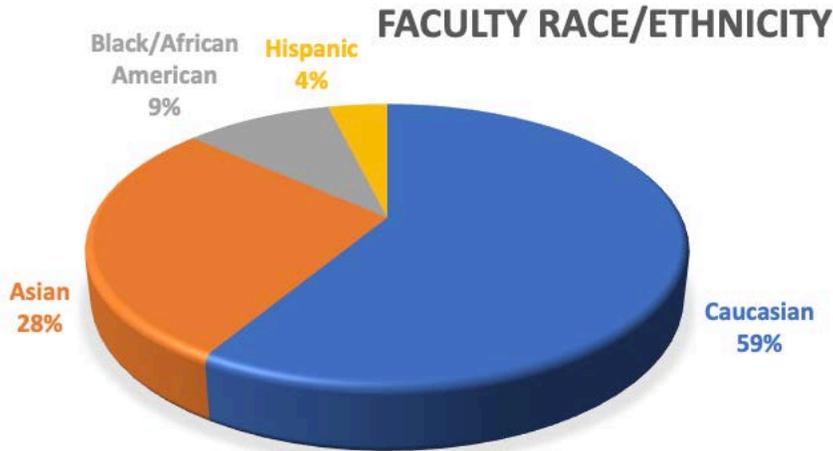
RACE/ETHNICITY

RACE/ETHNICITY



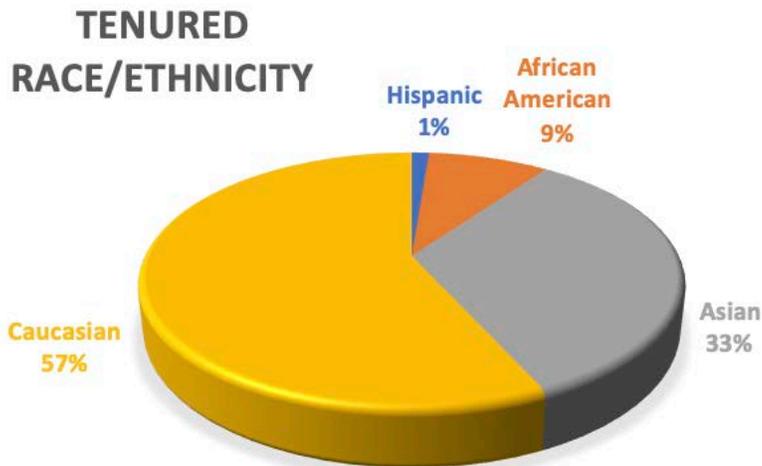
Race/Ethnicity	Number	Percentage
Caucasian	220	72%
Asian	41	13%
Black/African American	36	12%
Hispanic	8	3%
Total	305	100%

Faculty Race/Ethnicity



Faculty	Number	Percentage
Caucasian	61	59%
Asian	29	28%
Black/African American	10	9%
Hispanic	4	4%
Total	104	100%

Tenured Faculty Race/Ethnicity

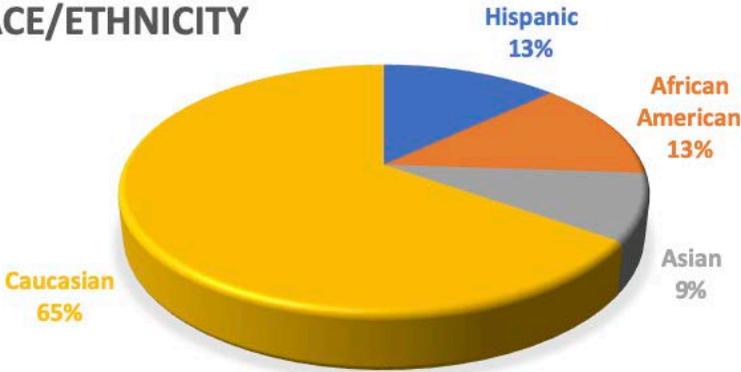


Tenured Faculty	Number	Percentage
Caucasian	46	57%
Asian	27	33%

Black/African American	7	9%
Hispanic	1	1%
Total	81	100%

Non-Tenured Faculty Race/Ethnicity

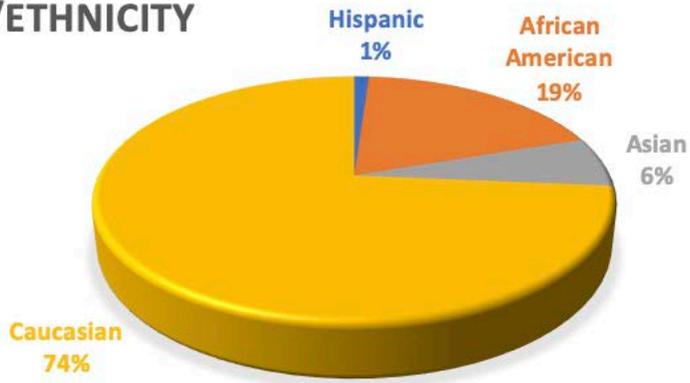
**NON-TENURED
RACE/ETHNICITY**



Non-Tenured Faculty	Number	Percentage
Caucasian	15	65 %
Black/African American	3	13%
Hispanic	3	13 %
Asian	2	9%
Total	23	100%

Administrative & Professional Race/Ethnicity

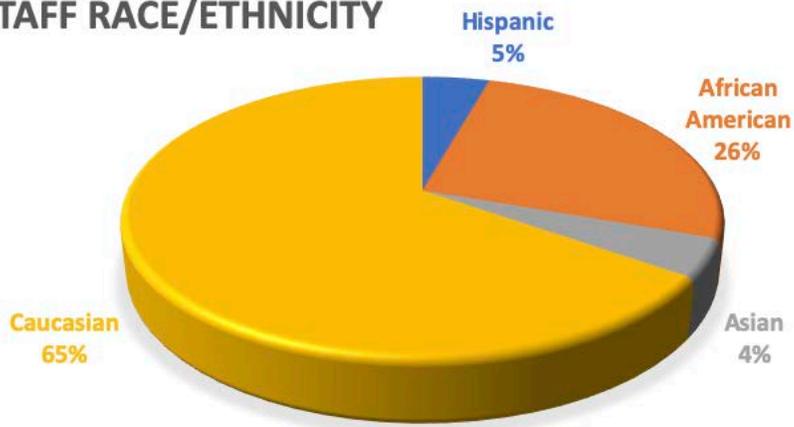
**A & P
RACE/ETHNICITY**



A & P	Number	Percentage
Caucasian	67	74 %
Black/African American	17	19 %
Asian	6	6 %
Hispanic	1	1 %
Total	91	100%

Staff Race/Ethnicity

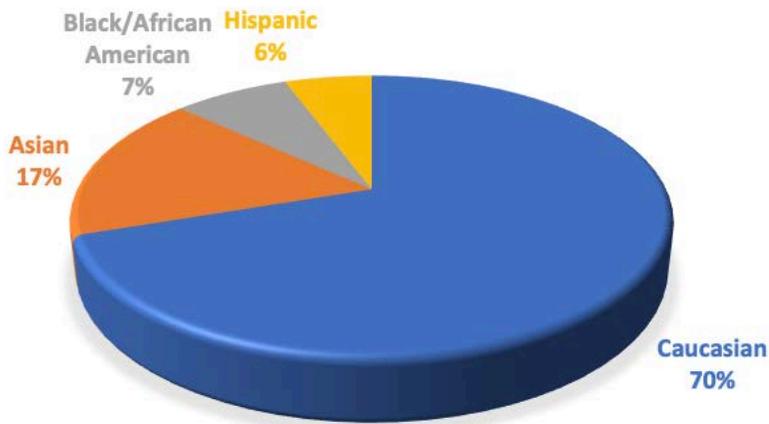
STAFF RACE/ETHNICITY



Staff	Number	Percentage
Caucasian	30	65%
Black/African American	12	26%
Hispanic	2	5%
Asian	2	4%
Total	46	100%

Student Race/Ethnicity

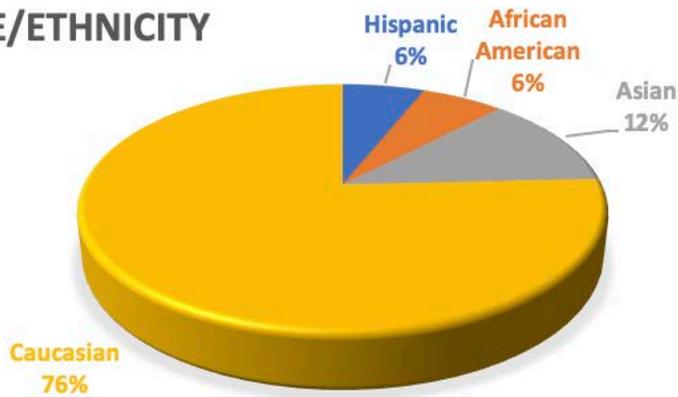
OVERALL STUDENT RACE/ETHNICITY



Overall Student	Number	Percentage
Caucasian	37	70%
Asian	9	17%
Black/African American	4	7%
Hispanic	3	6%
Total	53	100%

Graduate Student Race/Ethnicity

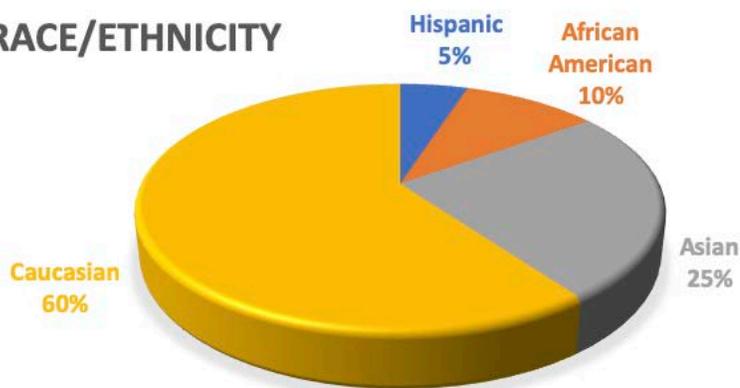
GRADUATE RACE/ETHNICITY



Graduate Student	Number	Percentage
Caucasian	25	76%
Asian	4	12%
Black/African American	2	6%
Hispanic	2	6%
Total	33	100%

Undergraduate Student Race/Ethnicity

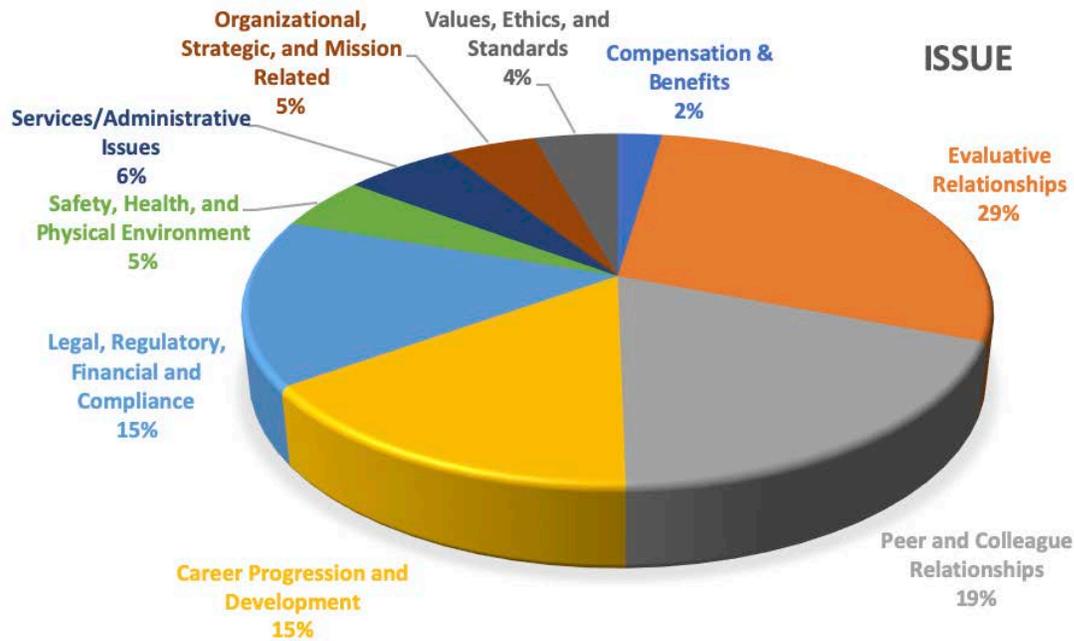
UNDERGRADUATE RACE/ETHNICITY



Undergraduate Student	Number	Percentage
Caucasian	12	60%
Asian	5	25%
Black/African American	2	10%
Hispanic	1	5%
Total	20	100%

GENERAL ISSUE CATEGORIES

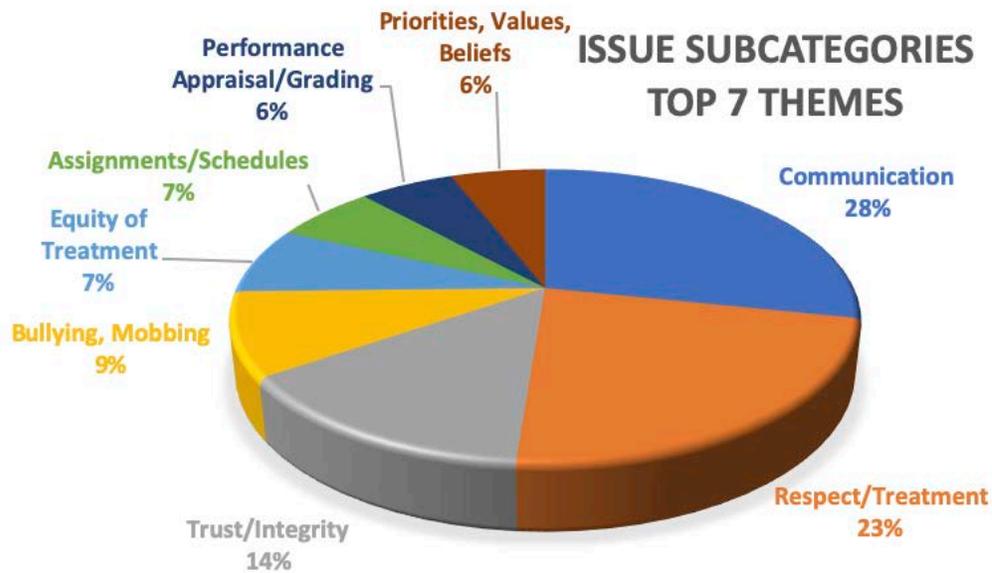
This report provides statistics on the types of broad concerns brought to the ombuds, such as evaluative relationships in the employment and classroom context, career challenges and progression through school, as well as legal, safety and ethical issues.



Issue	Number	Percentage
Evaluative Relationships	99	29%
Peer and Colleague Relationships	65	19%
Career Progression and Development	53	15%
Legal, Regulatory, Financial and Compliance	53	15%
Services, Administrative Issues	20	6%
Safety, Health, and Physical Environment	17	5%
Organizational, Strategic, and Mission Related	16	5%
Values, Ethics, and Standards	15	4%
Compensation and Benefits	8	2%
Total Discussions of General Themes	346	100%

TOP 7 SUBCATEGORY ISSUES (COMMON THEMES)

This entry highlights common themes on the more specific complaints heard by the ombudsperson. These entries reflect many underlying human interests, such as need for respect, fairness, integrity, dignity, trust, and safety.



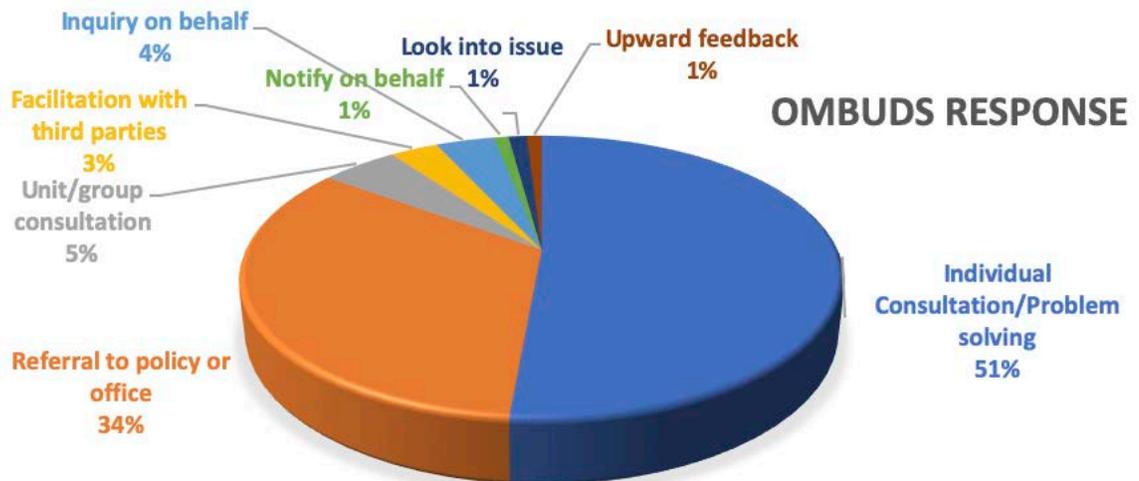
Top 7 Subcategories	Number	Percentage
Communication	116	28%
Respect/Treatment	94	23%
Trust/Integrity	58	14%
Bullying/Mobbing	38	9%
Equity of Treatment	30	7%
Assignments/Schedules	26	7%
Performance/Appraisal/Grading	24 [tie]	6%
Priorities, Values, Beliefs	24 [tie]	6%
Total Discussions of Top 7 Common Themes	410	100%

OTHER SUBCATEGORIES

Other Subcategories	Number
Diversity Related	23
Supervisory Effectiveness	17
Departmental Climate	15
Business and Financial Practices	15
Harassment	15
Administrative Decisions/Interpretation/Application of Rules	15
Career Development, Coaching, Mentoring	14
Discrimination	13
Leadership and Management	11
Reputation	10
Termination/Non-Renewal	9
Involuntary Transfer/Change of Assignment	9
Feedback	9

Other Subcategories	Number
Standards of Conduct	8
Values and Culture	8
Work Related Stress and Work-Life Balance	8
Organizational Climate	7
Safety	7
Resignation	7
Career Progression	7
Retaliation	7
Other	7
Privacy and Security of Information	6
Use of Positional Power/Authority	5
Tenure/Position Security/Ambiguity	5
Change Management	5
Compensation	4
Job Classification and Description	4
Job Application/Selection and Recruitment	4
Student Conduct	4
Behavior of Service Providers	4

OMBUDS RESPONSE



Ombuds Response	Number	Percentage
Individual Consultation/Problem solving	217	51 %
Referral to policy or office	142	34%
Unit/Group Consultation	21	5%
Inquiry on Behalf	16	4%
Facilitation with third parties	13	3%

Ombuds Response	Number	Percentage
Look into Issue	5	1%
Notify on Behalf	4	1%
Upward Feedback	4	1%
Total response	422	100%

IV. SELECTED ACCOMPLISHMENTS

- Developed seminar entitled *Bantamweight vs. Heavyweight – Academic Freedom and Academic Civility on Campus*, and presented it to the 45th Annual Conference of the California Caucus of College and University Ombuds
- Facilitated day-long retreat for School of Fisheries, Aquaculture, and Aquatic Sciences
- Presented *Bullying and Mobbing in the Workplace and Academe* at College of Education Retreat for A & P and Staff employees
- Presented *Active Listening Techniques*, Auburn University Leadership Luncheon for Heads and Chairs
- Guest lectured and conducted mock mediations with students in School of Communications and Journalism undergraduate classes
- Presented *NBZ: The No-Bullying Zone* to summer camp counselors for Center for Educational Outreach and Engagement
- Presented *Teamwork: Building Results Collaboratively and Amicably* to ACES Mason County Extension Office
- Received four-year recertification as a Certified Organizational Ombudsman Practitioner CO-OP©, through the International Ombudsman Association
- Graduate Student Colloquium Speaker: *Navigating Toward Your Graduate Degree: The Important Role Good Communication Skills Play in Academic Success*

V. PROFESSIONAL ORGANIZATIONS, AND SELECTED CONFERENCES ATTENDED

- Member, International Ombudsman Association
 - Member, Programming and Planning Committees, 14th Annual Conference in New Orleans, Louisiana
 - Certified Organizational Ombudsman Practitioner
 - Mentor Ombudsman
- Member, California Caucus of College and University Ombuds
 - Attended 45th Annual Conference in Pacific Grove, California
 - Member, CCCUO Board of Directors
- Member, Alabama State Court Mediator Roster

VI. EDUCATIONAL OUTREACH

The Ombudsperson speaks to numerous groups throughout the year to inform them of the services offered by the Ombuds office, and to provide educational seminars and workshops. The Ombuds is available for and solicits invitations from all groups to appear as a speaker or to present conflict resolution seminars. Seminars and workshops presented in the 2018/2019 academic year were:

- *Teamwork: Building Results Collaboratively and Amicably*
- *Understanding Bullying and Mobbing in the Workplace and Academe*
- *Working with High Conflict Persons*
- *The Art and Productive Capacity of Active Listening*
- *Identifying Underlying Interests: Tips from Nature, History and the Cinema*
- *NBZ – The No Bullying Zone* (for AU camp counselors)
- *Cooperative Negotiation Strategy*, with Dr. Stefan Eisen of the Maxwell AFB War College

VII. COMMUNITY SERVICE

- Mediate civil cases at Lee County District Court
- Coach mediation training at JAG School, War College, Maxwell Air Force Base

VIII. CONCLUSION

The Office of the Ombudsperson serves the entire university community. All members are interrelated through their common and collaborative pursuit of the mission of Auburn University: “...improving the lives of the people of Alabama, the nation, and the world through forward-thinking education, life-enhancing research and scholarship, and selfless service.”

The ombudsperson is dedicated to helping all university members work together in pursuit of that mission. We are fallible as human beings, and conflict often arises during our educational and professional relationships. The ability to work through and resolve disputes peacefully contributes to a more productive, friendly, and healthy environment to study and work. The ombuds’ promise of confidentiality is usually essential to a potential office visitor’s decision to visit the office in pursuit of help. The ability to lay out all relevant facts is a necessary facet of understanding and engaging in creative discussion of the problem. The office visitor’s reliance upon the promise of confidentiality provides a key to an honest, open discussion, and sets the stage for creative dispute resolution problem-solving.

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)
 - 3.e **Communication** (quality and/or quantity of communication)
 - 3.f **Bullying, Mobbing** (abusive, threatening, and/or coercive behaviors)
 - 3.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)
 - 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)