Resolution Services for Conflicts and Concerns

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Executive Summary

The Ombuds Office

FY19 was a period of growth for the Ombuds Office. The number of individuals served by the office was slightly lower in FY19 compared to FY18, but the intensity of services was substantially greater. In other words, the number of people who came to the office diminished slightly, but a substantial number of the people who asked for services received a higher level of service over a longer period. This was a result of the higher degree of complexity of the issues and conflicts brought to our attention. The Ombuds Office continued to participate as an *ex officio* member of the Committee on Workplace Climate and Bullying and the Employee Services Group organized through the Chancellor’s Office of Equity and Inclusion. University Ombuds Carol Booth also worked with the Office of Equity and Inclusion and Workplace Learning & Development to create, train ambassadors for, and facilitate the 2019 “Climate Conversations” across campus. The Ombuds Office worked with several University offices and departments to resolve issues that arose during the year, including Human Resources, Workplace Learning and Development, the Office of Equity and Inclusion, the Graduate Dean’s Office, the Provost’s Office, and several academic departments and work units.

The Ombuds Office’s work continued to be guided by its strategic plan in FY19. Our staff became more proficient at specific forms of conflict resolution services through additional training. We abandoned the satisfaction survey we were using; the response rate was simply too low to provide us with useful information in that form. In June 2018, the Ombuds Office launched its new website, [www.umass.edu/ombuds](http://www.umass.edu/ombuds); during FY19 we continued to add content and improve links to resources.

The Ombuds Office looks forward to another productive year in FY20.

Respectfully submitted,

Carol Booth, J.D.
University Ombuds
The Role of the Ombuds Office

The mission of the Ombuds Office is to promote a knowledgeable, fair, and respectful UMass community by building faculty, staff, student, and organizational capacity for constructive communication and conflict resolution. To accomplish this mission, the office assists faculty, students, and staff to prevent, identify, manage, and resolve campus-related conflicts and concerns and offers presentations and workshops about communication, conflict management, and resolution strategies. Additionally, the Office provides insight and recommendations to University leadership about trends and systemic issues identified through its work. The Ombuds Office operates under the Standards of Practice and Code of Ethics of the International Ombudsman Association (IOA) as set out in the Charter developed between the Ombuds Office and the Chancellor’s Office in 2015.

Standards of Practice

The International Ombudsman Association (IOA) Standards of Practice and Code of Ethics are fully described at https://www.ombudsassociation.org/About-Us/IOA-Standards-of-Practice-IOA-Best-Practices/Code-of-Ethics.aspx. The University of Massachusetts Ombuds Office complies with IOA standards by working according to the following principles:

Confidentiality The Ombuds Office maintains the confidentiality of its visitors’ identities and communications with two exceptions: if there is an imminent risk of serious harm or if required by law to disclose. All visitors have the option to speak with the Ombuds Office without disclosing personally identifying information if they choose. Consistent with its obligation to protect confidentiality, Ombuds records consist of non-identifying information and statistical data. Providing information to the Ombuds Office does not constitute legal notice to the University.

Neutrality The Ombuds Office supports all visitors to the office with the goal of helping to resolve their issues; the Ombuds does not take sides, act as an advocate, or enforce policy. The staff maintain neutrality while working with visitors to help all parties achieve a fair resolution of their conflicts and concerns. The Ombuds Office does not have the authority to make decisions or impose sanctions.

Informality The Ombuds offers a wide range of informal resolution options, such as coaching, mediation, and facilitated dialogues. Ombuds services complement, but do not replace, formal channels of conflict resolution on campus. Ombuds services are always voluntary; use of the Ombuds Office cannot be imposed or required. The office does not conduct investigations and is not authorized to accept notice of claims against the University.
Independence  The Ombuds reports directly to the Chancellor’s Office for administrative purposes and is otherwise not part of a managerial chain of authority. This allows the Ombuds to maintain its status as an unaligned, neutral resource for the entire campus community.

Staffing  
The Ombuds Office is staffed by University Ombuds Carol Booth, part-time Associate Ombuds Martha Patrick, Assistant Ombuds Derek Doughty, and part-time Administrative Assistant Erica Avery. For additional information, please see https://www.umass.edu/ombuds/our-staff.

Classifications of Issue Categories

To align with standards for the profession, the Ombuds Office uses the International Ombudsman Association (IOA) classification system for tracking the annual statistics about its visitors and their issues. That system consists of nine broad categories and over 80 subcategories to classify the issues raised. A copy of the full IOA Uniform Reporting Categories can be found at Appendix A.

University Community Member Consultations

Five hundred and fifty-one (551) visitors initiated a request for a consultation appointment with the Ombuds Office in FY19. Another thirty-four (34) individuals requested assistance by brief telephone contact only. Ombuds staff contacted another one hundred and eighty-nine (189) individuals to discuss University policy, to explore an informal resolution of an issue, to get the other’s perspective, or to explore additional options for jointly resolving a problem. In addition to individual services, the Ombuds Office spoke with and provided information to another one thousand and forty (1,040) students, staff, and faculty in 24 sessions at resource fairs, talks given in classes, training programs, and academic meetings. In total, the Ombuds Office served one thousand eight hundred and fourteen (1,814) campus constituents, or approximately four and three quarters percent (4.75%) of the entire population of students, staff, and faculty. Although this number is slightly lower than in FY2018, compared with UMass’ peer institutions that have Ombuds Offices this is still well above the average.

Overview

In FY19, the Ombuds Office continued to serve all constituent groups on campus as well as some parents, alumni, and others. The data break down as follows:

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1 The demographic and Issues data in this Annual Report represents this group.
<table>
<thead>
<tr>
<th>Undergraduates</th>
<th>148</th>
</tr>
</thead>
<tbody>
<tr>
<td>Graduate Students</td>
<td>89</td>
</tr>
<tr>
<td><strong>Total Students</strong></td>
<td><strong>237</strong></td>
</tr>
<tr>
<td>Staff</td>
<td>154</td>
</tr>
<tr>
<td>Faculty</td>
<td>140</td>
</tr>
<tr>
<td>Not Identified</td>
<td>20</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>551</strong></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Women</th>
<th>292</th>
</tr>
</thead>
<tbody>
<tr>
<td>Men</td>
<td>231</td>
</tr>
<tr>
<td>Trans/Non-Binary</td>
<td>5</td>
</tr>
<tr>
<td>Other</td>
<td>0</td>
</tr>
<tr>
<td>Not Identified</td>
<td>23</td>
</tr>
<tr>
<td><strong>Total</strong></td>
<td><strong>551</strong></td>
</tr>
</tbody>
</table>

### Issues Raised
For Faculty and Staff the highest percentage of issues raised concerned their evaluative and peer relationships. Students raised academic issues just slightly more than evaluative relationships. Other significant areas across the groups were peer and colleague relationships, administrative, career, and compliance issues. Many people identified more than one issue that concerned them.

<table>
<thead>
<tr>
<th>IOA Issue</th>
<th>Student</th>
<th>Staff</th>
<th>Faculty</th>
<th>Other</th>
<th><strong>Issue Totals</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Academics</td>
<td>134</td>
<td>9</td>
<td>43</td>
<td>8</td>
<td><strong>194</strong></td>
</tr>
<tr>
<td>Compensation and Benefits</td>
<td>2</td>
<td>8</td>
<td>7</td>
<td>0</td>
<td><strong>17</strong></td>
</tr>
<tr>
<td>Evaluative Relationships</td>
<td>129</td>
<td>109</td>
<td>70</td>
<td>6</td>
<td><strong>314</strong></td>
</tr>
<tr>
<td>Peer and Colleague Relationships</td>
<td>14</td>
<td>28</td>
<td>33</td>
<td>0</td>
<td><strong>75</strong></td>
</tr>
<tr>
<td>Career Progression &amp; Development</td>
<td>10</td>
<td>42</td>
<td>8</td>
<td>1</td>
<td><strong>61</strong></td>
</tr>
<tr>
<td>Legal, Regulatory, Financial &amp; Compliance</td>
<td>34</td>
<td>29</td>
<td>14</td>
<td>2</td>
<td><strong>79</strong></td>
</tr>
<tr>
<td>Safety, Health, &amp; Physical Environment</td>
<td>5</td>
<td>12</td>
<td>1</td>
<td>0</td>
<td><strong>18</strong></td>
</tr>
<tr>
<td>Services/Administrative Issues</td>
<td>88</td>
<td>50</td>
<td>17</td>
<td>12</td>
<td><strong>167</strong></td>
</tr>
<tr>
<td>Organizational, Strategic, &amp; Mission</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>0</td>
<td><strong>4</strong></td>
</tr>
<tr>
<td>Values, Ethics, &amp; Standards</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td><strong>1</strong></td>
</tr>
<tr>
<td>Not Identified (cases remain open)</td>
<td>11</td>
<td>12</td>
<td>17</td>
<td>1</td>
<td><strong>41</strong></td>
</tr>
<tr>
<td><strong>Totals by Constituent Group</strong></td>
<td><strong>428</strong></td>
<td><strong>301</strong></td>
<td><strong>212</strong></td>
<td><strong>30</strong></td>
<td><strong>971</strong></td>
</tr>
</tbody>
</table>
The following is a further explanation of the issues of most concern to the primary constituent groups.

1. Students
   - **Academic Issues:** (31%) Questions, concerns, issues, or inquiries involving an Academic concern.
     
     The most frequent student concerns in this area involved Performance Appraisal/Grading, and Trust/Integrity (Academic Honesty and Grievance issues)

   - **Evaluative Relationships:** (30%) Concerns, issues, or inquiries between people in evaluative relationships such as supervisor-supervisee or professor-student.
     
     The most frequent student concerns in this area involved Equity of Treatment, Respect/Treatment, and Communication.

   - **Services/Administrative Issues:** (21%) Concerns arising from the provision of University services or administrative decision-making.
     
     The most frequent student concerns in this area involved financial aid, billing, late withdrawals, and other policy exceptions.

2. Faculty
   - **Evaluative Relationships:** (33%) Concerns, issues, or inquiries between people in evaluative relationships such as supervisor-supervisee or professor-student.
     
     The most frequent faculty concerns in this area arose from Respect/Treatment, Trust/Integrity, and Communication

   - **Academic Issues:** (20%) Questions, concerns, issues, or inquiries involving an Academic concern.
     
     The most frequent student concerns in this area involved Performance Appraisal/Grading, and Trust/Integrity (Academic Honesty and Grievance issues)

   - **Peer and Colleague Relationships:** (16%) Concerns, issues, or inquiries between people not in evaluative relationships, but working together such as two faculty members within the same department or within the same research team.
The most frequent faculty concerns in this area arose from problems with Communication, Trust/Integrity, and Respect/Treatment.

3. Staff

- **Evaluative Relationships:** (36%) Concerns, issues, or inquiries between people in evaluative relationships such as supervisor-supervisee or professor-student.

  The most frequent staff concerns in this area were Performance Evaluations, Supervisory Effectiveness, Trust/Integrity, Communication, and Respect/Treatment.

- **Services/Administrative Issues:** (16%) Questions, concerns issues or inquiries about services or administrative offices including from external parties.

  The most frequent staff concerns in this area were about the Quality of Services, Responsiveness/Timeliness, Administrative Decisions/Interpretations, and Application of Rules.

- **Peer and Colleague Relationships:** (13%) Concerns, issues, or inquiries between people not in evaluative relationships, but working together such as two staff within the same department or within the same work unit.

  The most frequent staff concerns in this area arose from problems with Communication and Respect/Treatment.

**Assistance Provided**

The Ombuds Office provided three thousand two hundred sixty-seven (3,267) services to its visitors in FY19. Visitors often received several different services during a consultation period with the Ombuds Office. Ombuds services are divided into three main categories as follows:

**Individual Problem Assistance** includes meeting with individuals and small groups to provide information, explain policy, discuss issues, provide conflict and communication coaching, and develop options for resolution. The Ombuds provide these services over the course of one or more meetings with the visitors. In general, these visitors go on to resolve their issues directly with others, or with minimal further assistance from the Ombuds.

**Conflict Resolution Services** include the more structured services the Ombuds Office provides. While still informal, conflict resolution techniques such as mediation, shuttle diplomacy, facilitated dialogue, and restorative practices draw on specific skills and expertise of trained Ombuds personnel. Resolution through these methods is usually considerably more time intensive than Individual Problem Assistance matters.
**Campus Community Services and Education** includes the educational talks and programs provided by the Ombuds Office as well as the trend identification and reports we bring to leaders’ attention.

<table>
<thead>
<tr>
<th>Individual Problem Assistance</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Explain Ombuds Services &amp; Standards</td>
<td>1591 2</td>
</tr>
<tr>
<td>Explain UMass Policies and Procedures</td>
<td>482</td>
</tr>
<tr>
<td>Discuss/Develop Resolution Options</td>
<td>473</td>
</tr>
<tr>
<td>Made Inquiry on Visitor’s Behalf; Feedback to Visitor</td>
<td>113</td>
</tr>
<tr>
<td>Referral</td>
<td>191</td>
</tr>
<tr>
<td>Conflict Coaching</td>
<td>94</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Conflict Resolution Services</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Facilitated Dialogue</td>
<td>24</td>
</tr>
<tr>
<td>Mediation</td>
<td>3</td>
</tr>
<tr>
<td>Shuttle Diplomacy</td>
<td>23</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Campus Community Services &amp; Education</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Worked with Campus Partner</td>
<td>34</td>
</tr>
<tr>
<td>Brought to the Attention of Leadership</td>
<td>42</td>
</tr>
<tr>
<td>Presentations Given</td>
<td>24</td>
</tr>
<tr>
<td>Identified Trends and Goals vs. Practices</td>
<td>2</td>
</tr>
</tbody>
</table>

| Total                                         | 3,267   |

**Outcomes**

Many people who consult with our office experience more than one outcome. At the same time, since the majority of the Ombuds Office’s services are informal and precede a final resolution strategy reached by the parties, the Ombuds often does not know the exact nature of the final result. The statistics contained here reflect the Ombuds’ assessment of what we achieved with the visitor. Consultation with the Ombuds Office in FY19 resulted in the following outcomes for our visitors and contacts:

<table>
<thead>
<tr>
<th>Outcome</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>Referral to Other Campus Resource</td>
<td>143</td>
</tr>
<tr>
<td>Referral to Off-Campus Resource</td>
<td>10</td>
</tr>
<tr>
<td>Requested Changes Occurred</td>
<td>58</td>
</tr>
</tbody>
</table>

2 This number includes 551 office visitors and 1,040 people who attended our presentations about the Ombuds Office and trainings.
| Increased Understanding of Ombuds Services | 15913 |
| Increased Understanding of Policies & Procedure | 438 |
| Increased Understanding of Options for Resolution | 477 |
| Resolved Through Ombuds Conflict Resolution Service | 27 |
| Increased Conflict Resolution Skills | 149 |
| Formal Process Initiated by Visitor | 15 |
| Relationships Improved | 37 |
| Resolved by Visitor after Ombuds Consultation | 191 |
| Resolved by Other UMass Intervention | 16 |
| Resolved by External Intervention | 1 |
| Prior Formal Process in Progress | 2 |
| Visitor Not Eligible | 1 |
| **Total Outcomes** | **2,945** |

### Additional Impact of Services

In addition to the specific outcomes listed above, the Ombuds Office makes daily contributions to the ongoing work of improving our campus climate. Nearly every interaction with the people who come to our office increases the visitor’s understanding of conflict and provides them with skills that they can take back into the community. Through modeling, coaching, and other services, the Ombuds teach visitors how active listening and use of dialogue can change the course of difficult conversations. By assisting parties through structured forms of resolution such as mediation, Ombuds help them to use conflict as an opportunity for deeper understanding and connection. When groups or departments use Ombuds services, they can learn to repair the harm done by unfair treatment or group dysfunction. Not every interaction with an Ombuds results in transformative insight, but each visitor to the Ombuds Office learns something about new, more effective ways of resolving the issues that brought them in. The themes of attentive listening and genuine curiosity about the other’s perspective weave into all Ombuds services; these skills help build the foundation for a community of dignity and respect.

In addition to the lessons inherent in the work the Ombuds Office does with its visitors, the office also added direct climate services to its repertoire in FY19. University Ombuds Carol Booth worked with the Office of Equity and Inclusion and Workplace Learning and Development to create a model for a new series of Climate Conversations. These conversations

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3 This number includes 551 office visitors and 1,040 people who attended our presentations about the Ombuds Office and trainings.
involved faculty, staff, and students who engaged in a four-hour training to be certified to serve as Climate Ambassadors. Ambassadors, along with staff from the offices mentioned above facilitated conversations for several hundred people using a specific model for talking about issues arising from our diverse community. The Ombuds Office also actively participates in the Employee Services group, which includes the Office of Equity and Inclusion, HR, the Office of Equal Opportunity, FSAP, Compliance, and others. This ongoing work aligns with the Ombuds Office’s work on campus, and has provided new ways for the office to be involved in improving communication and advocating for fairness.

Ombuds Office Challenges

It continues to be difficult for the Ombuds Office to make the community at large aware of what the Ombuds Office is and what we do. The name ‘Ombuds’ is not self-explanatory, and is hard for many people to pronounce, much less to understand. The Ombuds Office is reviewing the ways similar offices are named at other institutions to develop ideas that would enable people to recognize our purpose more easily. We are also planning a series of events for this fiscal year and next on relevant dates such as Ombuds Day, Conflict Resolution Day and others, which we hope will present the office in a more public way.

Derek Doughty has left the Ombuds Office to pursue new opportunities in California. We are very sorry to lose Derek, and will begin a search in fall 2019 to fill the role of the third Ombuds in our office.

Trend Identification and Recommendations

Civility and respect have been themes of the Ombuds Office’s Annual Report Trends section for several years. As the data show, the majority of visitors to the Ombuds Office are still concerned about respectful treatment, trust and integrity, equity, and communication. These continuing concerns signal that many campus constituents still do not feel included as full members of our community.

To address this ongoing concern, the Ombuds Office invites the campus to practice the art of listening.

Listening is one thing that everyone can contribute to improving respect within our campus community. There is no skill more important in establishing good relationships and building capacity. The simple act of listening attentively to someone else silently communicates that you respect what they have to say. Interrupting, looking at a phone or watch, exhibiting impatience, and verbal or facial expressions that signal displeasure actively communicate disrespect. Listening attentively without interruption or distraction may take a few extra minutes but it pays for itself immediately in engagement. In fact, each act of listening with a purpose of understanding another’s point of view is a moment of acknowledging the other’s value, and a direct contribution to achieving our climate aspirations. Listening and
understanding don’t signal agreement with what the other is saying; they convey interest, which is a critical element of a positive result. If everyone on campus intentionally practiced this simple act daily, the impact on our climate would be noticeable.

The Ombuds website includes a section called Strategies that contains resources for people experiencing disrespect as well as for those who are interested in increasing respect in their workplaces through good communication. The links below represent a sampling of some of the articles posted there. We hope that these may be helpful to anyone interested in building our campus climate by learning about how to increase their own skills. We invite you to check our website for additional information.

3 reasons why active listening is a must-have skill

How to Really Listen to Your Employees

Building a Culture of Accountability

Problem Solving Conversations Guidelines [pdf]

Enhancing Department Climate: A Guide for Department Chairs [pdf]

5 Ways to Stop an Argument in Less than a Minute

13 Ways To Improve Communication At Work

The Art of Disagreeing Agreeably

Conclusion

FY19 was a successful year for the Ombuds Office. Both its work with visitors and its involvement with University initiatives have given the office a broader perspective on the concerns of the campus. The Ombuds Office is looking forward to continuing to expand its horizons and work in FY20.
APPENDIX A
## 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)

## 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 (Working/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)