

2018-2019 Annual Report



Office of the Ombuds
University of Colorado Boulder

Message from the Director

The University of Colorado Boulder Ombuds Office is a team of highly trained professionals dedicated to promoting the highest standard of university governance; furthering the University's commitment to the principles of equality of opportunity; and providing a confidential and anonymous mechanism for people to seek guidance on how to report violations of the law and policies. The Ombuds Office helps people identify options to resolve disputes and, without breaching confidentiality, to identify policies, practices, and emerging trends for the University where systemic change may be appropriate.

In keeping with the University's mission and strategic goals, the Ombuds Office actively serves the campus community across multiple constituencies and venues, and frequently assists faculty, staff and students navigate the complexities of the University. In FY 2018-19 we experienced nearly the same level of cases as our previous year: 578, despite strategically reducing outreach in order to focus on the cases in hand. In addition, we saw an increase in visits by people who came because of a personal recommendation: 242. Most significantly, the number of mediations we conducted nearly doubled this year to 55. We feel that our word of mouth referrals as well as strong positive feedback evaluations are a testament to the strength of our team and the importance of the service we provide.

This fiscal year, our involvement in major campus issues included:

- Uncovering cases of fraud and other fiscal misconduct.
- Bringing to leadership information regarding violations of policy and abrasive conduct.
- Continuing to address conflict among groups, including faculty, staff and students. This year we saw a significant increase in undergraduate student groups.
- Serving as a sounding board for chairs, deans and staff administrators.
- Continuing to bring concerns regarding campus climate to decision-makers, especially around racism, sexism and discrimination based on disability and LGBTQ identity.

We have been following trends regarding historically marginalized and/or vulnerable groups on campus. This year 27% of our visitors self-identify as part of a historically marginalized racial or sexual identity, as gender diverse or as disabled.

Although we are still seeing an elevated level of cases regarding abrasive conduct, there has been a 24% decrease from the previous year. We are encouraged that the campus has engaged on several fronts to reduce abrasive conduct and hope that this decrease represents a trend.

- FY 16-17: 80
- FY 17-18: 190
- FY 18-19: 145

Thank you for the facilitated conversation you conducted. You kept us on track and I felt you treated both sides fairly and skillfully. I would not have been able to have that conversation without you.

- Visitor

More in-depth analyses and data on issues and constituents are provided in the full report.

This year we were delighted to welcome Faculty Ombuds Yem Fong to our team and we bid a fond farewell to Lee Potts as she retired at the end of the year. Our team continued to engage in campus committees such as the BFA Professional Rights and Duties Committee, Graduate School Climate Advisory Committee, Chancellor's Committee on Race and Ethnicity, and actively partnered with campus groups to promote inclusivity and organizational development. We also continued to represent CU Boulder on a national level, presenting at conferences as well as launching the American Bar Association Ombuds Day. Thanks to support from the Provost, Associate Director Liz Hill helped lead the inaugural launch of Ombuds Day in Washington, D.C.

We are very pleased that with substantial support from the Provost, we embarked on a building project last year. Looking ahead, we expect to have our new Ombuds space – with significant improvements in safety, more consultation spaces and additional individual offices – completed in November 2019. Executive Vice Provost for Academic Resource Management Ann Schmiesing identified and helped clear up difficulties in finding a new office space. We are also grateful to the Vice Chancellor of Student Affairs Christina Gonzales for facilitating a new location within the Center for Community. We also thank the Office of Space Optimization, especially our Project Manager Marina Florian for shepherding the project along so effectively.

Respectfully Submitted,

Kirsi Ahmavaara Aulin, LMFT, CO-OP®

Director

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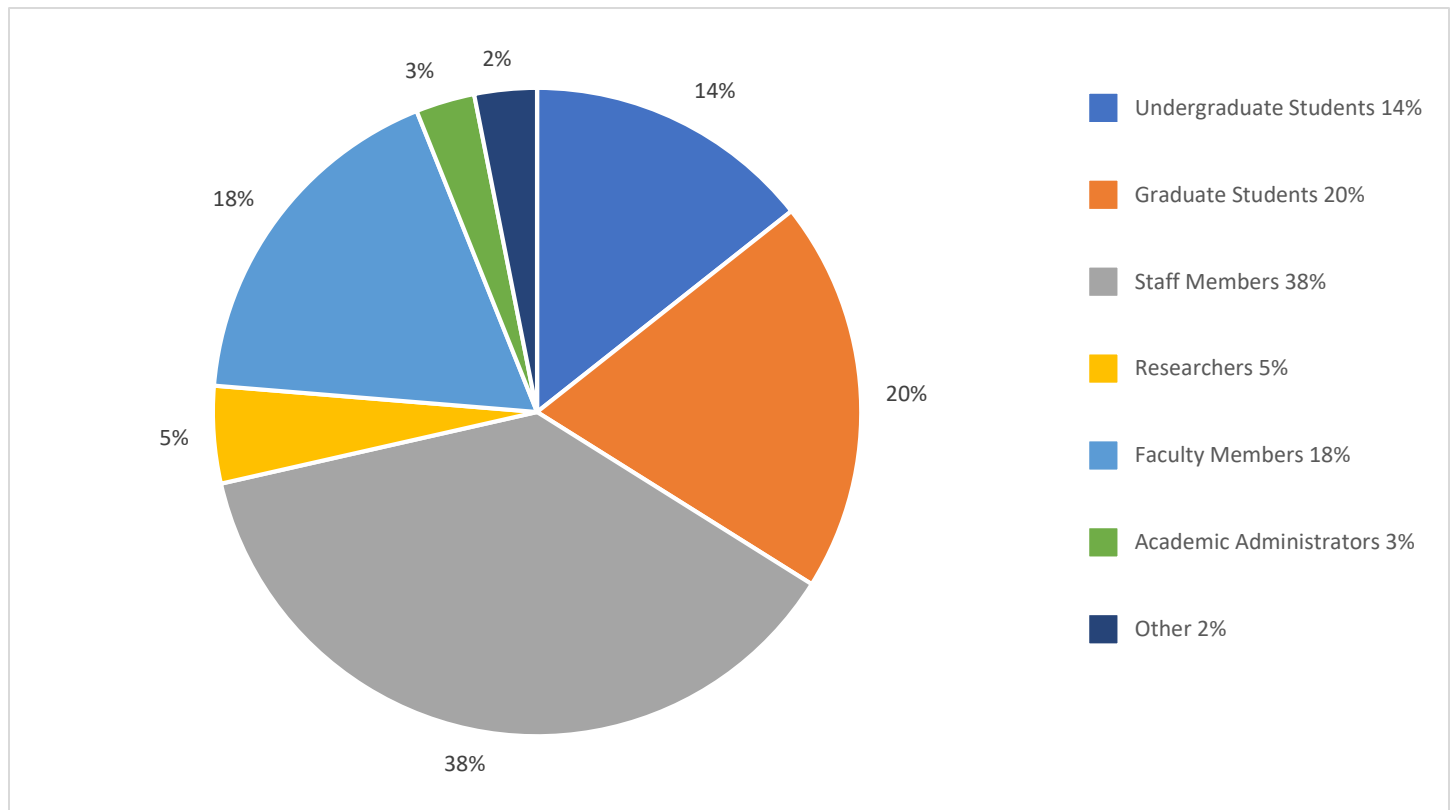
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Demographics & Data Summary

The distribution of cases among campus constituents has remained relatively stable this year.

- Staff: 217
- Graduate Students: 114
- Faculty: 102
- Undergraduate: 82
- Academic Administrators: 38
- Researchers (PRAs): 28
- Other: 18



The gender distribution of people consulting with our office was:

- Female: 64.88%
- Male: 34.95%
- Gender Diverse: 0.17%

The racial and ethnic identity of our visitors is as follows:

- African American/Black: 2%
- Asian, Asian American, American Indian: 8%
- Latino, Hispanic, Spanish American: 3%
- Mexican, Mexican American, Chicano: 2%
- Middle Eastern, North African, Arab, Arab American: 2%
- White, Caucasian, European American: 69%

- Biracial: 1%
- Multiracial: 1%
- Unknown: 11%
- Declined to answer: 1%

(Please see Appendix C for graphics on combined constituent groups)

Top Concerns All Constituents

As a designated neutral, the Ombuds Office serves both the institution and the individuals and groups who request consultations. All parties benefit from our work. CU Boulder has welcomed Ombuds Office involvement broadly across campus enabling the Office to surface systemic concerns that might otherwise have remained hidden. This year we have worked with academic departments, student groups, and campus wide constituent groups to help resolve problems.

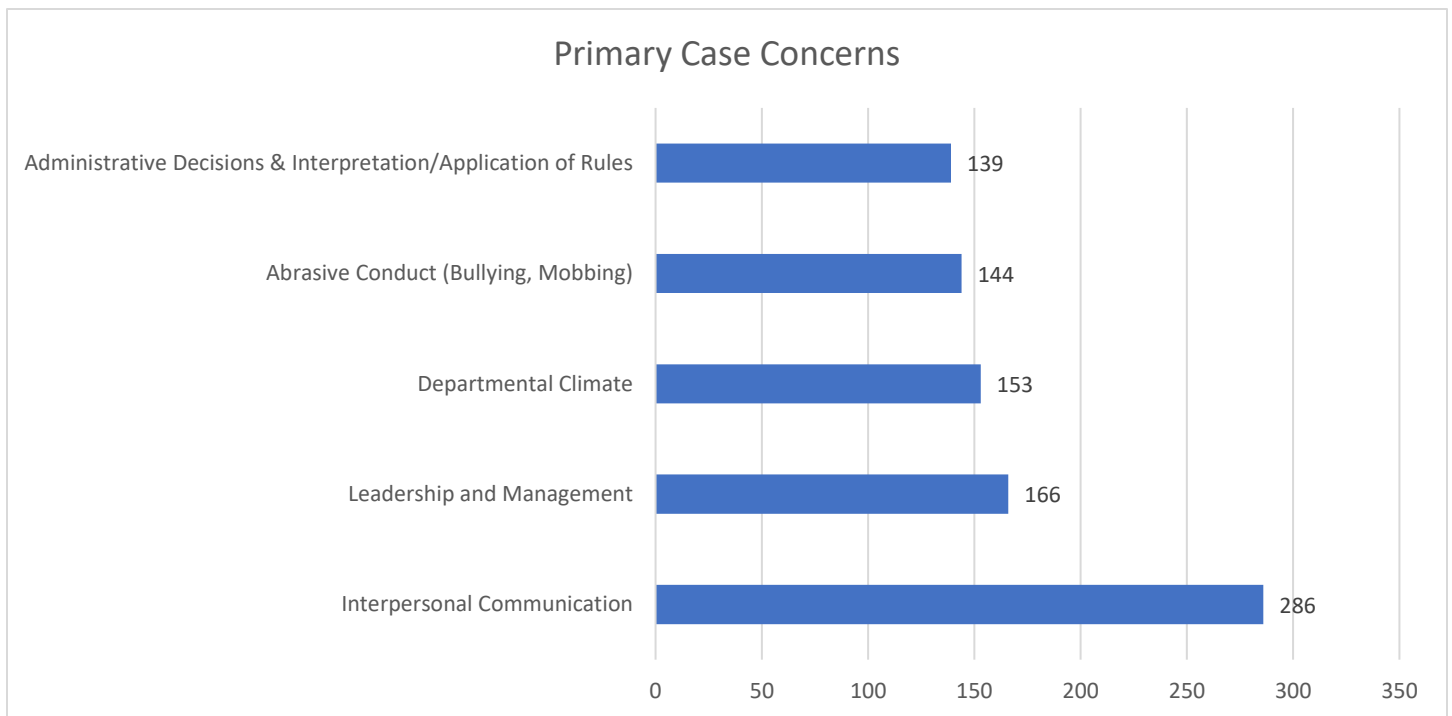
When we see visitors to the office, we note the main themes of concern they present. Interpersonal Communication continues to be the most common concern for our visitors, with a slight increase from 265 in FY 2017-18. The top four concerns all pertain to an individual's experience in their immediate vicinity (e.g. department) as opposed to broader campus wide problems.

Overall, for all campus constituents, the top five concerns were:

- Interpersonal Communication
- Leadership and Management
- Department Climate
- Abrasive Conduct
- Administrative Decisions & Interpretation/Application of Rules

(See Appendix E for all concerns)

I really didn't know whom to talk with at CU about working through my problem and I had to figure out a way to do that or lose valuable working relationships. This is a wonderful, invaluable program.
- Visitor



Trends & Issues

Assessing/Mitigating Risk

In addition to surfacing systemic issues, the Ombuds Office strives to assist both the campus and individual visitors mitigate the risk they are experiencing. To gauge the riskiness of the situations we become involved in, we assess in two ways: visitor self-report as well as ombuds rating. This year our visitor self-report response rate was 38%. It is of note that the percentage of our visitors self-disclosing that they were considering leaving their position increased from 29.47% in FY 2017-18 to 40.37% in FY 2018-19. The constituents expressing this most often were graduate students and staff.

- Undergraduate students: 11.43%
- Graduate students: 47.5%
- Staff: 53.06%
- Faculty: 26.92%
- Administrator: 37.5%
- Researcher: 37.5%

(The full breakdown of visitor self-assessment by constituent identity is found in Appendix B.)

The overall number of potential lawsuits seems to be down from last year, based on visitor self-assessment. Last year the percentage of people who filled out the evaluation survey and were considering filing a lawsuit was 11.58%. This year, the percentage decreased to 8.72%.

Interest in filing grievances and complaints increased slightly from last year. Last year the percentage of people who filled out the survey and were considering filing a grievance or complaint was 21.05%. This year the percentage is at 23.85%.

Below is a summary of visitor self-assessment before Ombuds consultation showing what the visitor was planning on doing before consultation:

38.99%	giving up and remaining disgruntled
24.77%	not talking to anyone about the issue
23.85%	filing a grievance or complaint
8.72%	filing a lawsuit
40.37%	leaving my position

The risks to individuals and the institution described in the chart below are the Ombuds assessment of visitor situations. The numbers represent both the risk and suffering a visitor is experiencing as well as potential risks to the campus. Significantly, loss of departmental productivity and attrition or transfer are the categories most often noted.

Risk Categories

32.35%	Attrition or transfer
1.56%	High risk safety issue
7.61%	Litigation potential
39.10%	Loss of departmental productivity
12.80%	Negative publicity
19.72%	Potential internal/external grievances
14.88%	Violation of policy/code of conduct

Systemic Issues & Observations

Interpersonal Communication: Many cases revolve around how to communicate concerns up the hierarchy, especially related to a difficult topic or conflict. This appears most often between the individual and the person in a position of authority that the individual reports to or is advised by. We also see several cases particularly among staff, graduate students and undergraduates about how to broach a sensitive issue such as racial or gender bias.

Leadership & Management: A variety of concerns are raised about leaders among all constituent groups ranging from disagreements with decisions and lack of consistency around decisions to a continual lack of transparency regarding department wide or sudden programmatic changes. Frequently the problems visitors bring to our office underscore concern that the person in authority to address a situation does not do so. This might be due to an aversion to conflict or a hope that the problem will go away.

Departmental Climate: Concerns about department climate sometimes involve abrasive conduct or use of positional power that intimidates or suppresses individuals voicing differing opinions. This also points to departmental climates where individuals feel their contributions are not valued or that their skills are underutilized.

Abrasive Conduct: One of the most difficult aspects of abrasive conduct on this campus, in our view, is the inability of decision-makers to see the abrasive conduct. Sometimes when presented with ample evidence, they rely on their own personal relationships with the abrasive person to filter the data. This leads to lack of response on the part of leaders.

Administrative Decisions and Interpretation of Rules: Concerns in this category often center on performance evaluations, hiring and retention decisions, and processes around fulfilling graduation or dissertation requirements. Visitors seek help in finding resolution and often do not know what avenues they need to take.

Constituent Groups Observations

(Please see Appendix E for all constituent group concerns combined)

Staff

(Please see Appendix F for all staff concerns)

The number of staff visitors totaled 217 and is the Office's largest constituent group. Thirteen percent of the staff visitors self-identify as part of a historically marginalized racial or sexual identity, gender diverse or disabled.

The top five (5) concerns for staff:

- Interpersonal Communication
- Leadership and Management
- Departmental Climate
- Abrasive Conduct
- Administrative Decision and Interpretation/Application of Rules

The top five concerns typically surface as stories of supervisors creating atmospheres where subordinates feel undervalued, shut down, ignored, and publicly shamed for asking questions or expressing ideas that might not align with the leader's ideas. Another common theme is lack of transparency from leadership, often expressed in a myriad of ways including ineffective communication, lack of communication, failure to clarify roles and responsibilities, and failure to effectively establish performance and behavioral expectations. In several instances, supervisees assert that there is vague communication regarding tasks and expectations. Supervisees are left "in the dark" and then blamed for not meeting expectations, which is often couched as holding employees accountable. This becomes problematic when leaders confuse a culture of blame with a culture of accountability.

*Awesome experience!
Gave me several options
and strategies for dealing
with my situation. I felt
like the ombuds took my
concerns seriously and
really wanted to help me.*

- Visitor

Conversely, supervisors complain there is nothing they can do to address poor behavior. There seems to be this lurking myth that employees may not be held accountable for poor behavior. Interestingly, based on the entirety of situations we hear about, what we see is that frequently supervisors *are* holding supervisees accountable. Staff perceive that there is a lack of accountability for the management levels and above when

*The ombuds listened and
was knowledgeable
about university policies
and procedures.
What a fantastic service!
- Visitor*

their behavior is deemed abrasive or incompetent. If the perceived lack of accountability becomes widespread, it could potentially undermine the University of Colorado's guiding principles to promote and uphold the principles of ethics, integrity, transparency, and accountability to create respectful working environments and improve our communities.

We encourage all staff to take advantage of Crucial Conversations, which provides strategies and techniques for engaging in productive dialogue regarding matters that have high stakes, high emotion, and opposing viewpoints. We also refer supervisors to Employee Relations for guidance on appropriately addressing unprofessional behavior. At times, we find ourselves helping visitors escalate concerns about leaders

who are allegedly not acting within the university's Code of Conduct ([APS 2027](#)) in an effort to bring these concerns to the individuals who have the authority to investigate, make findings, and take appropriate reaction. Our hope is more leaders will hear these concerns, look at all sides, and act accordingly.

Faculty

(Please see Appendix G for all faculty concerns)

The 102 faculty members seen, including Research Faculty, represent 18% of all Ombuds Office cases in 2018-19, 11 fewer visitors than the previous year. 18% of faculty visitors self-identify as part of a historically marginalized racial or sexual identity, gender diverse or as disabled. Collectively these visitors raised 430 concerns.

The top 5 concerns account for 41.86% of the 430 concerns raised:

- Interpersonal Communication
- Leadership & Management
- Administrative Decisions & Interpretation/Application of Rules
- Departmental Climate
- Abrasive Conduct

Last year, a major concern among our faculty visitors was their perception that decisions affecting them lacked transparency. This continues as a problem. The data show that among faculty the leading concerns about leadership center on administrative decisions/interpretations of rules, performance appraisal, leadership and management of the unit, use of positional power and authority, and equity of treatment. This accounts for 82.97% of all faculty concerns over leadership, up from 67.27% in 2017-18, and 23.26% of all faculty concerns, up slightly from 22.61% as reported last year.

We also note that there is variability regarding concerns related to career stage, job security, and positional power among faculty ranks. In FY 2018-19, the Faculty Ombuds made a concerted effort to meet with the BFA Instructor's Committee, having witnessed a lack of awareness by our visitors of the

Instructors Bill of Rights. Those at the instructor rank are at-will employees in most cases, which makes their employment insecure until they become a senior instructor or above, and then only less insecure. There also are complications regarding their right to grieve, which the Office of Faculty Affairs is attempting to address.

We continue to see some troubling trends, including increasingly complex cases involving multiple constituents and wider departmental or cross departmental concerns:

- Faculty expressing concerns of retaliation for raising objections to institutional policies or practices (contrary to the university's policy protecting whistle blowers from retaliation).
- Faculty members concerned about personnel processes and decisions in the department often are

My experience with the ombuds representative was extremely eye opening. Not only did they help me with a direction of how to address my problem but also aided me in self-revelation of how to become a better academic.

- Visitor

unaware of departmental policies that pertain to such matters as open searches for faculty appointments. In some cases, it appears that university policies on open searches are being violated or that exceptions granted by the dean are not being communicated to the faculty.

- Instructor contracts need to specify work distribution and expectations, and that verbal understandings between the chair/director and the instructor that reflect a side agreement on how its wording will be interpreted invite misunderstanding and open the door to formal grievance and possibly litigation when not honored.
- Cases in which advice by administrators and senior colleagues have proven to be contrary to university policy without disclosing the rationale behind the advice and without any written record to support the contestant's understanding.
- Cases in which senior faculty and/or administrators have publicly engaged in abrasive communication directed at junior colleagues or subordinates.
- Cases in which cultural differences inflect perceptions of the nature and severity of (untoward) actions and acceptable repairs.
- Cases in which faculty PIs are directing co-PIs to perform

duties that appear to violate university policy, be contrary to funding agency requirements, are violations of Department of Labor regulations on uncompensated labor, and in a few instances appear to raise questions of their legality.

Graduate Students

(Please see Appendix H for graduate student concerns)

The number of graduate student visitors, 114, was an increase of 18% from FY 2017-18. Very significantly, 46% of graduate visitors self-identify as part of a historically marginalized racial or sexual identity, as gender diverse, or as disabled.

The top 5 concerns for graduate students:

- Interpersonal Communication
- Advisor/Advising
- Abrasive Conduct
- Career Development
- Mental Health Issues

A notable change from FY 2017-18, Mental Health Issues ranked in the top 5 concerns. Of 114 graduate student visitors, 16 complained of advisor interactions causing a level of stress that led them to visit CAPS or seek other psychological counselling and is a trend for us to watch in the coming year.

Similar to findings from FY 2017-18, the vast majority of graduate student cases raised concerns about mentor-mentee relations (advisor-advisee). Approximately 42% of Ombuds Office graduate student visitors expressed failures at communication with their advisor. These range from an inability to make contact or receive a response to a query to a lack of clarity on assignments and the sense that advisors are unwilling to provide guidance. In STEM disciplines, where the advisor is often the sole arbiter of student progress toward the PhD, many students share the perception of moving “goal posts” for when they may defend or they describe being held to different standards of accomplishment when compared to others in the same program. With ABD students, there also are reports of serious confusion about intellectual property or negative responses to research results that do not support the PIs hypotheses.

We often hear from our graduate visitors that they find the Ombuds Office a safe place to sort out strategies for working with advisors. It is troubling however, to hear graduate students state regret for choosing CU rather than another institution, or even consider leaving. In their words, they wish for mentoring that supports their career development, and often do not feel that their advisors are giving the level of guidance and feedback they need to make substantive progress. Sometimes there is confusion about graduate students’ rights or there is self-imposed stress relative to their own expectations and level of progress. Nonetheless, from our perspective, we wish to encourage faculty to consider being educators and mentors when possible in order to help promote greater graduate student success rates. Some common complaints we hear:

- Graduate students receiving late notification they are being discontinued on a research grant are impacted in ways that are disruptive beyond their professional roles. In many cases these students have visa issues and untimely notification prevents making alternative funding arrangements through another faculty member’s research grant.
- Graduate students need to receive timely feedback from advisors on their work. We continue to have cases where students submit dissertation chapters that go without advisor comments for months or drafts of articles that will become part of a dissertation sit for an extended time without comment, or

*I was in despair but you
helped me understand
that I have options.
- Visitor*

evasive replies to student requests for closure on what will be required for the advisor to advance them for a doctoral defense. Doctoral students are fearful of retaliation if they escalate their concern to the department, and are at sea about how to move forward to their dissertation defense when repeated attempts to get their advisor's assessment go unanswered.

- Principal investigators assigning their graduate students, without explanation, to projects unrelated to the projects on which they were hired to work and unrelated to future dissertation projects (a common perception is that these assignments are made to advance projects of monetary value to the PI but lacking relevance to the degree aspirations of the doctoral student).
- Graduate Advisors treat their students as employees who are held to job performance expectations that may exceed their level of development rather than as students who are their responsibility to teach. Consequently, normal student confusions that occur when encountering new intellectual challenges are sometimes treated as incompetence impeding progress on a project rather than as confusion requiring instruction on how to solve a problem.

Undergraduate Students

(Please see Appendix I for undergraduate student concerns)

The number of undergraduate visitors that visited our offices this fiscal year, 82, was consistent with the number that visited in fiscal year 2018. Of this number, 6% of undergraduate student visitors self-identify as part of a historically marginalized racial or sexual identity, gender diverse or disabled.

The top five (5) concerns for undergraduate students:

- Grading
- Communication-interpersonal
- Administrative decisions and interpretation/application of rules
- Honor code/academic dishonesty
- Work/life balance

The top concerns in FY 2018-19 is a shift from FY 2017-18. Concerns related to grading increased by 40% and interpersonal communication increased by 16%. Moreover, honor code/academic dishonesty and work/life balance replaced discrimination and respect/treatment. It is possible that the increase of visitors with concerns or questions about honor code stemmed from the fact that changes to the honor code system left students confused.

Undergraduate students often seek ombuds assistance when determining how to navigate grade disputes, retroactive withdrawals, honor code violations, graduation requirements, policies and processes, syllabus changes and inappropriate faculty comments or behaviors. Here are several composite examples of the kinds of undergraduate situations brought to our office:

- An undergraduate student is dissatisfied with a grade and wants a safe neutral place to discuss concerns and consider options.
- Seniors realize a grade will prevent them from graduating or they do not otherwise have the required credits to graduate, which in some circumstances impacts job offers or plans for graduate school. This uncovers a variety of possible outcomes: grade appeal, helping a student accept the grade and

consider alternative paths forward, identify strategies to address what might have been erroneous advice from academic advisors, helping students accept their role in understanding requirements and owning their mistakes as well as taking responsibility for the consequences.

- Faculty member makes sudden changes to a syllabus or grading rubric during the semester, which derails the students' schedules, plans and other commitments.
- Students perceive faculty are advancing their political agenda under the guise of academic freedom and free speech. Students feel that the classroom environment does not allow them to share their own perspectives. This is contrary to the university's value to express and hear all reasonable views.
- When academic dishonesty is suspected, sometimes faculty do not allow for an informal discussion of the concern with students before referring the situation to honor code. At times this means that the faculty miss the opportunity to hear a valid explanation, and the student is required to jump through the hoops of the honor code process only to reach the conclusion that academic dishonesty is unsubstantiated. The student in this case is understandably upset because of the stress, confusion and potentially inferior grade that they are contending with. It is often difficult to assess whether academic dishonesty has occurred. The Ombuds help students understand what constitutes academic dishonesty, how the honor code process works, help organize thoughts and evidence, as well as frame subsequent conversations or navigate grade appeal processes.
- A student suffers a temporary injury and cannot get from one class to another in a timely manner. The injury does not qualify as a disability and there is no legal obligation to provide an accommodation. Ombuds help the student navigate the resources and options that will allow the student to virtually attend class or obtain the mechanisms to successfully navigate campus in a timely manner.

The ombuds was very helpful and listened critically to understand and clarify my concerns.

Ombuds also provided several realistic and practical recommendations for me to address this situation.
- Visitor

Researchers

(Please see Appendix J for researcher concerns)

Although the number of researchers that visited the Ombuds Office this past year is small, 28, we wish to highlight issues that we are seeing as the success of sponsored research is a significant concern for the University and its reputation. This group is largely Professional Research Assistants or Associates who are not Research Faculty, and also includes Post Docs. Many of these researchers are supported through grant funding and on temporary appointments. While it is difficult to do outreach to this constituency, we met with the Vice Chancellor for Research and Innovation and with Institute Directors in FY 2018-19 to share our concerns and reiterate our services.

The Top 5 concerns for Researchers:

- Interpersonal Communication
- Leadership & Management
- Departmental Climate
- Administrative Decisions & Interpretation/Application of Rules
- Abrasive Conduct

Some common issues expressed by Researchers include:

- Being asked to work over 40 hours per week without compensation, breaks, or the ability to take personal leave.
- Concerns about research misconduct or misuse of grant funding; lack of status and/or lack of ability to voice problems for fear of retribution.
- Low morale due to the climate in the lab or the perceived poor leadership of the PI.

These concerns point to opportunities for improving leadership and supervisory competencies that could potentially lessen the revolving door around PRA staffing.

Administrators

(Please see Appendix K for administrator concerns)

While the number of academic administrators seeking Ombuds services is small, 17, the concerns of these major campus decision makers are important reflections of campus culture. This category includes academic department chairs. 24% of administration visitors self-identify as part of a historically marginalized racial or sexual identity, gender diverse or as disabled.

Top 5 Concerns for Administrators:

- Departmental Climate
- Communication – Departmental
- Use of Positional Power/Authority
- Respect/Treatment
- Leadership and Management

Administrator concerns stem from oversight responsibilities and the top concerns listed above demonstrate the kinds of concerns that are brought to administrators by others.

Some common reasons administrators consult with the Ombuds Office:

- Consultation regarding situations involving abrasive conduct by individuals or whole departments.
- Unprofessional behavior on the part of faculty – malingering, not responding to emails.
- Deans express concerns about inappropriate behavior of chairs and/or chairs who fail to address the behavior of their faculty.
- Individuals in administrative positions who have problematic exchanges with university offices because they don't want to follow established rules.
- Repeated organizational restructuring and the difficulty retaining personnel, and lack of clarity regarding the changes in responsibilities

Without attributing motives, it is advisable that department officers, deans and other administrators recognize that their fiduciary responsibilities include a duty to act in good faith with regard to the interest of others –

their students, their staff, their faculty colleagues, their unit, and their college and university. But virtue of their position, those in a position of authority are first among those to whom a colleague, student or staff member may come with a concern about treatment. Being accessible, making a reasonable effort to hear concerns expressed, and sharing a written record of their understandings and to insure transparency, even when it records that there has not been a meeting of minds.

Concluding remarks

The Ombuds Office continues to serve as an active, informal, and confidential resource for alternative dispute resolution and mediation for the CU community. The stories and feedback we hear from visitors support our goal to be a safe space where individuals feel that they are listened to, and where they can safely explore a variety of options in order to move beyond the issue/s that brought them to our office.

This year, we continued collaborations with various campus departments, e.g. Faculty Relations, Human Resources, Graduate School, Student Affairs and its many offices, ODECE, Law School, and OIEC. We also continued to focus on community groups who have been identified as vulnerable either through campus surveys or through our casework, e.g. graduate students, people of color, members of a historically marginalized sexual identity, those who are gender diverse, veterans, and people with disabilities. In addition, the ombuds provided a range of educational presentations, trainings and teachings to a wide spectrum of campus departments. Some examples include:

- Teaching components of *Highly Effective Managers* with Human Resources
- Providing Graduate School and Graduate Teacher Program presentations such as *Peer Mentoring*, *Advisor/Advisee Relations*, *Dealing with Porcupines*
- Teaching sessions on professional ethics, such as *Cringe Moments* for the Responsible Conduct of Research series
- Serving as guest speaker in Ethics, Compliance and Professionalism Courses for the Law School.
- Presenting *Striving, Thriving & Mentoring*, a workshop for junior faculty in the LEAP program
- Teaching Crucial Conversations

We successfully met our goals from FY 2017-18 through active engagement. In response to last year's goals,

*I received compassionate
and well-considered
suggestions. I felt like I
was heard and
understood.*

- Visitor

we are ongoing presenters for the Academic Leaders Institute and for Highly Effective Managers. We have contributed to campus change initiatives through attending meetings and participating in discussion on issues such as the revision of the Professional Rights and Duties policy, IDEA Plan, Academic Futures, and Title IX revisions. Through continual communications and collaboration with colleagues across campus, we deepen our understanding of issues and concerns recurrently voiced by visitors and learn about new resources and options. Last, but not least, we successfully obtained funding and new office space as recommended by the ARPAC report 2015. Our new spaces will afford a degree of privacy and confidentiality that is designed to better serve the campus community.

Appendices

Appendix A: Standards of Practice and Code of Ethics

What is an Ombudsman (Ombuds)?

The name “ombudsman” (om budz man) comes from Swedish and literally means “representative.” At the most fundamental level, an ombudsman is one who assists individuals and groups in the resolution of conflicts or concerns. At CU, the Ombuds Office is affiliated with the professional association International Ombudsman Association (IOA), and Certified Organizational Ombuds Practitioners® (CO-OP®) which is the certifying body for Organizational Ombuds, and it adheres to IOA’s standards of practice and code of conduct. The IOA defines an Organizational Ombuds as: “a designated neutral who is appointed or employed by an organization to facilitate the informal resolution of concerns of employees, managers, students and, sometimes, external clients of the organization.” At CU, the Ombuds Office has been designated to serve this function as a confidential, informal, impartial, and independent resource available to all members of the CU community.

Our Standards of Practice and Code of Ethics

Our [standards of practice](#) and [code of ethics](#) are those of the International Ombudsman Association.

Appendix B: Visitor Self-Assessment: Before I came to the Ombuds Office, I was considering...

Undergraduate Student Constituents

40.00%	giving up and remaining disgruntled
17.14%	not talking to anyone about the issue
25.71%	filing a grievance or complaint
14.29%	filing a lawsuit
11.43%	leaving my position

Graduate Student Constituents

52.50%	giving up and remaining disgruntled
32.50%	not talking to anyone about the issue
20.00%	filing a grievance or complaint
7.50%	filing a lawsuit
47.50%	leaving my position

Staff Constituents

37.76%	giving up and remaining disgruntled
20.41%	not talking to anyone about the issue
27.55%	filing a grievance or complaint
9.18%	filing a lawsuit
53.06%	leaving my position

Faculty Constituents

26.92%	giving up and remaining disgruntled
23.08%	not talking to anyone about the issue
19.23%	filing a grievance or complaint
3.85%	filing a lawsuit
26.92%	leaving my position

Administrator Constituents

37.50%	giving up and remaining disgruntled
37.50%	not talking to anyone about the issue
12.50%	filing a grievance or complaint
0.00%	filing a lawsuit
37.50%	leaving my position

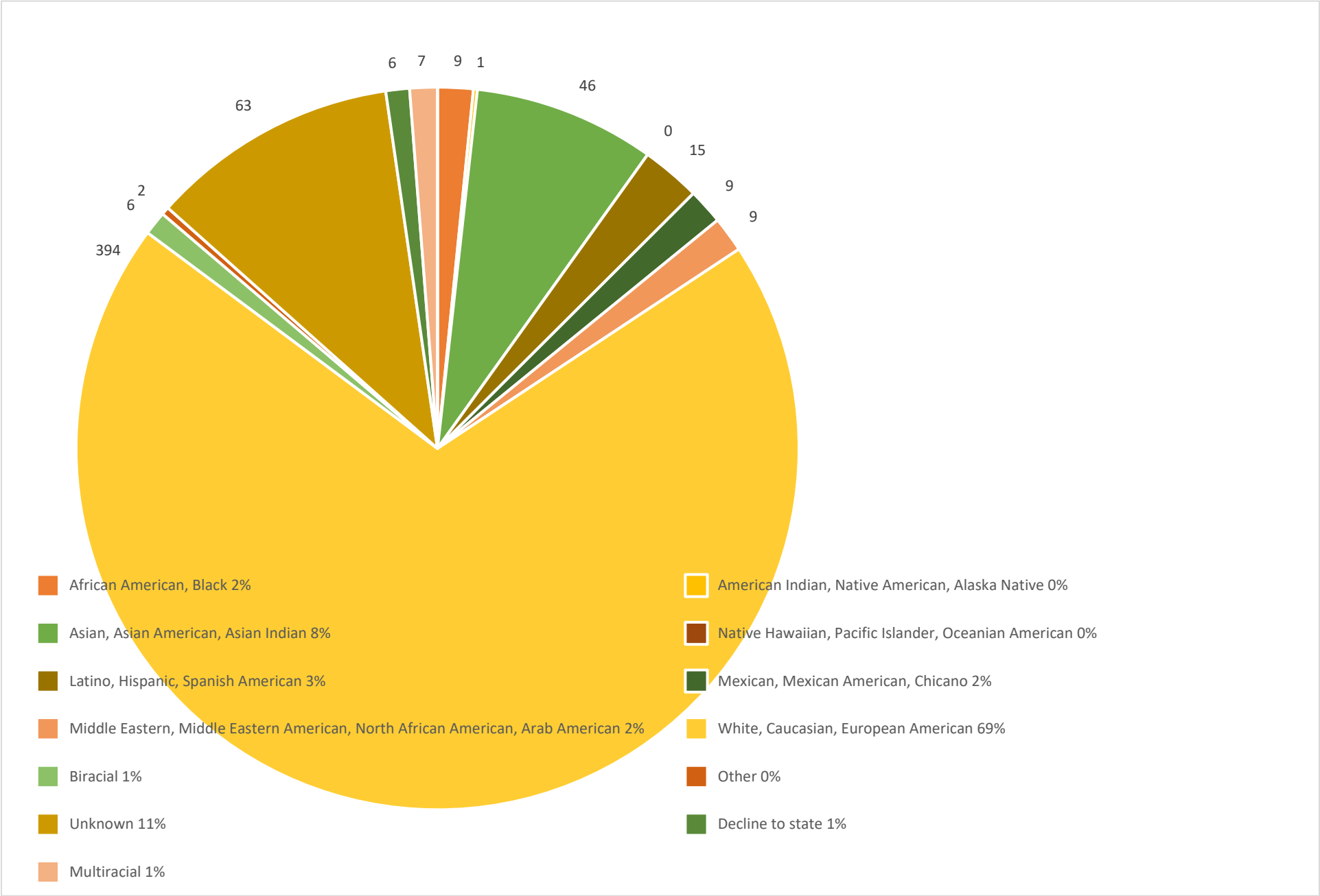
Researcher Constituents

37.50%	giving up and remaining disgruntled
62.50%	not talking to anyone about the issue
12.50%	filing a grievance or complaint
0.00%	filing a lawsuit
37.50%	leaving my position

Other Constituents

0.00%	giving up and remaining disgruntled
33.33%	not talking to anyone about the issue
33.33%	filing a grievance or complaint
33.33%	filing a lawsuit
0.00%	leaving my position

Appendix C: Racial and Ethnic Identity of Visitors

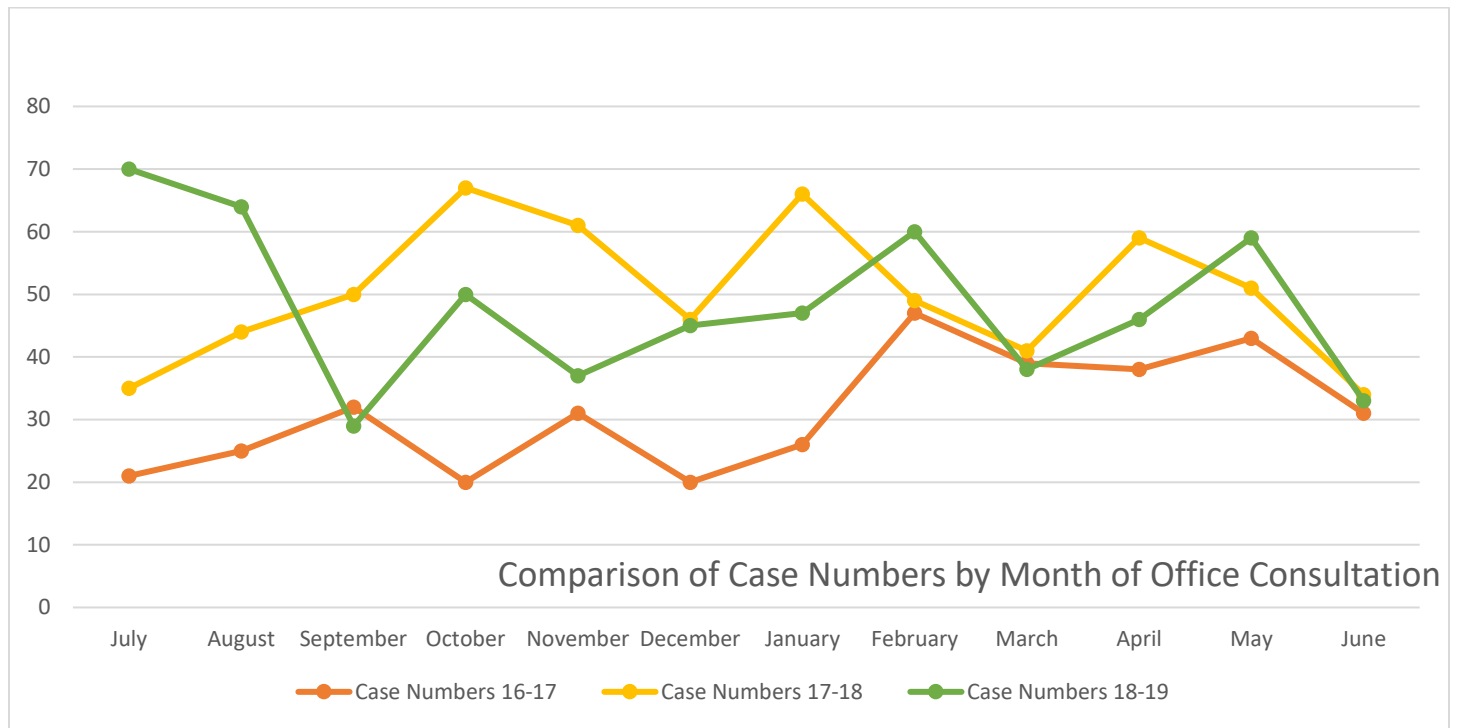


Appendix D: Yearly Comparisons

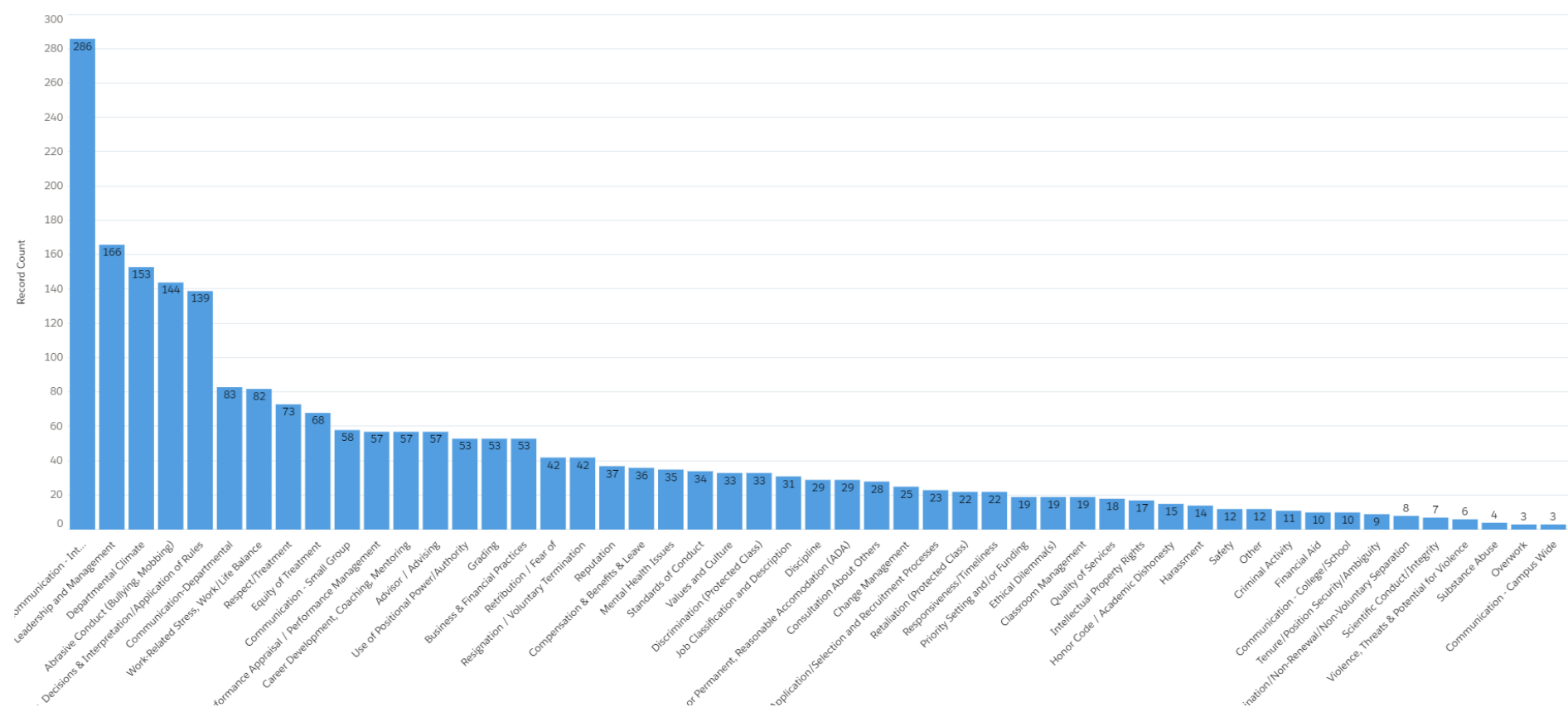
Total Number of Cases for FY 2018-2019: 578

Total Number of Cases for FY 2017-2018: 603

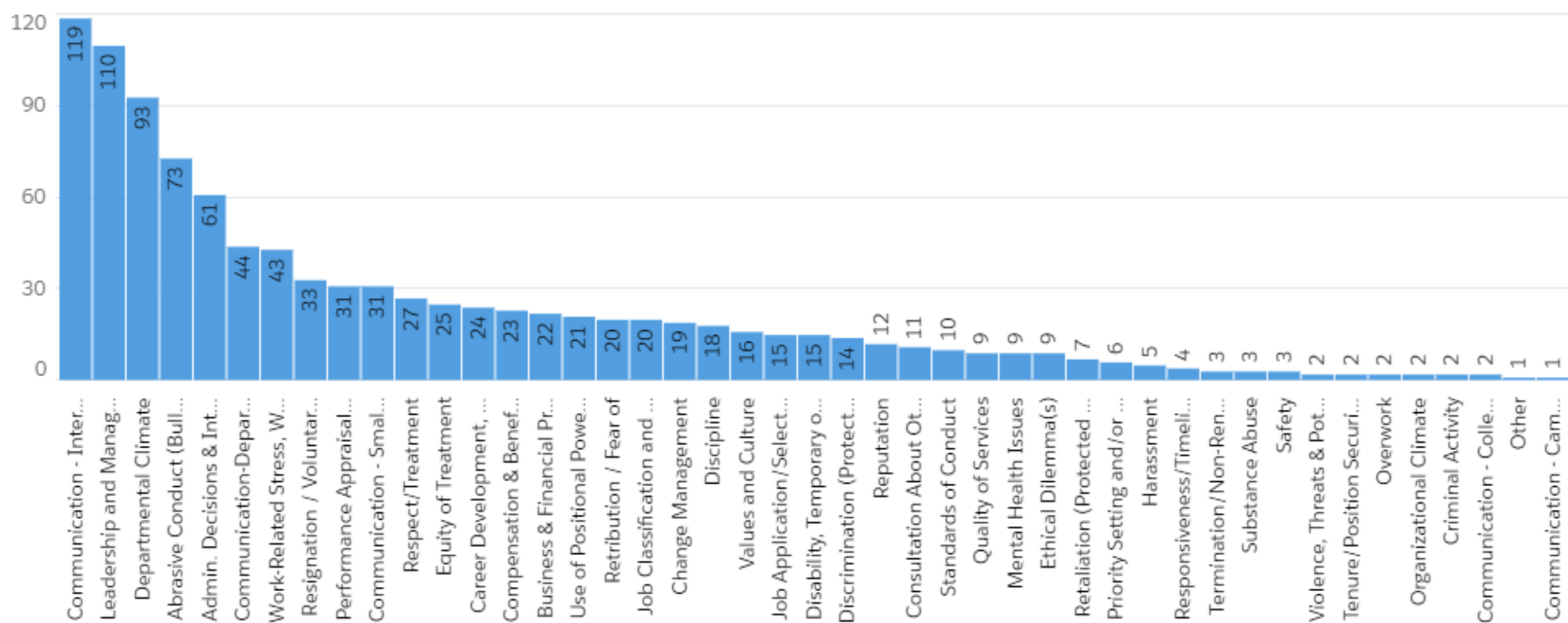
Total Number of Cases for FY 2016-2017: 373



Appendix E: All Concerns by Constituent Group



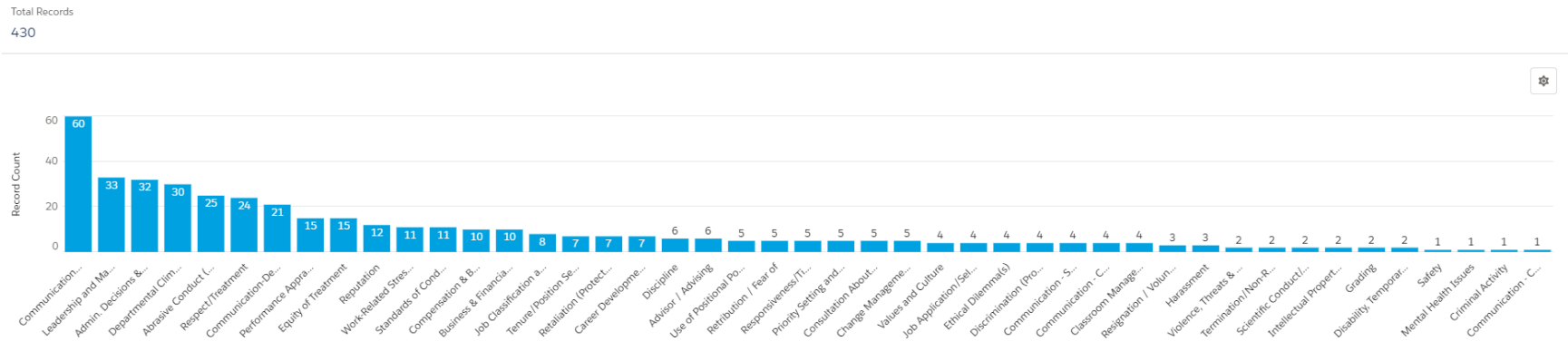
Appendix F: Staff Concerns



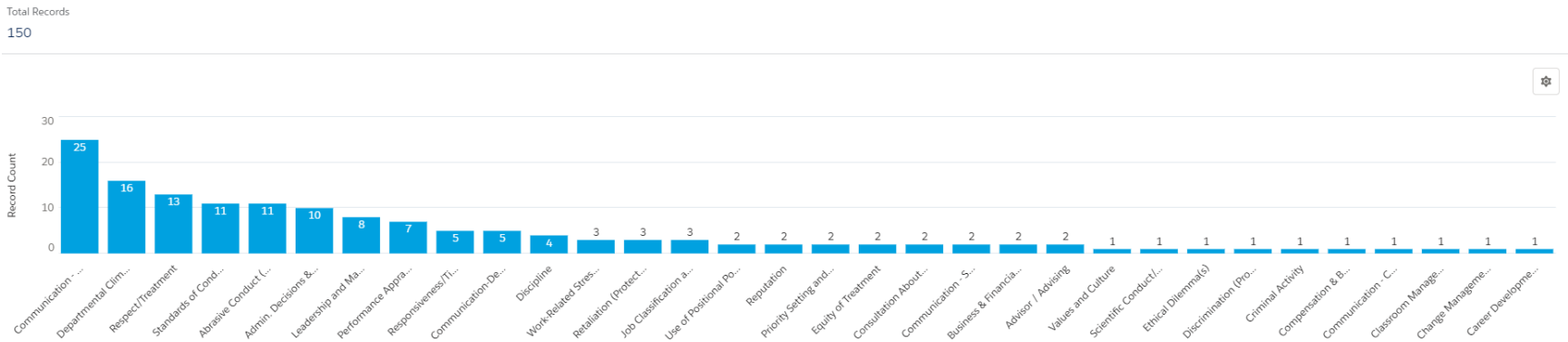
Appendix G: Faculty Concerns List by Rank

Total number of concerns (individually marked): 430

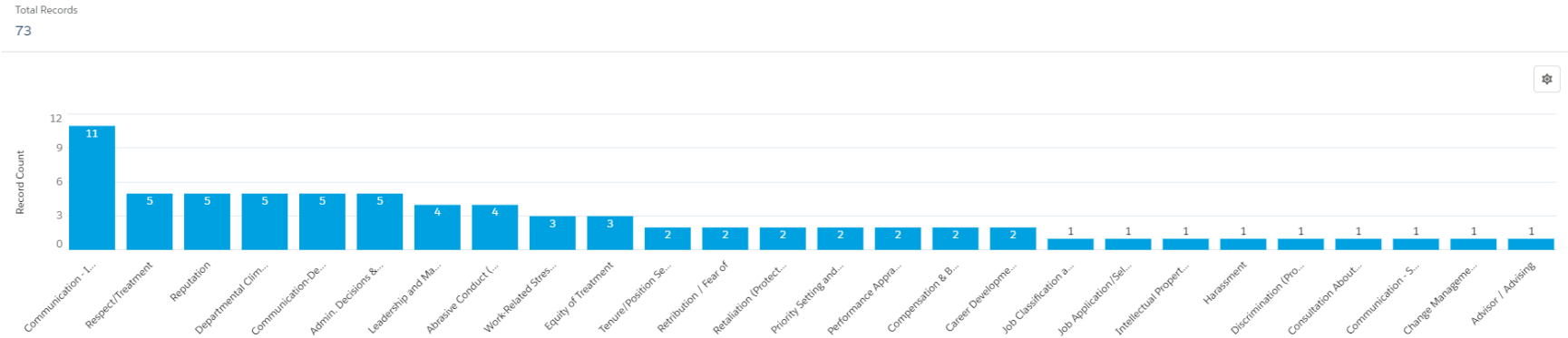
All Faculty Concerns



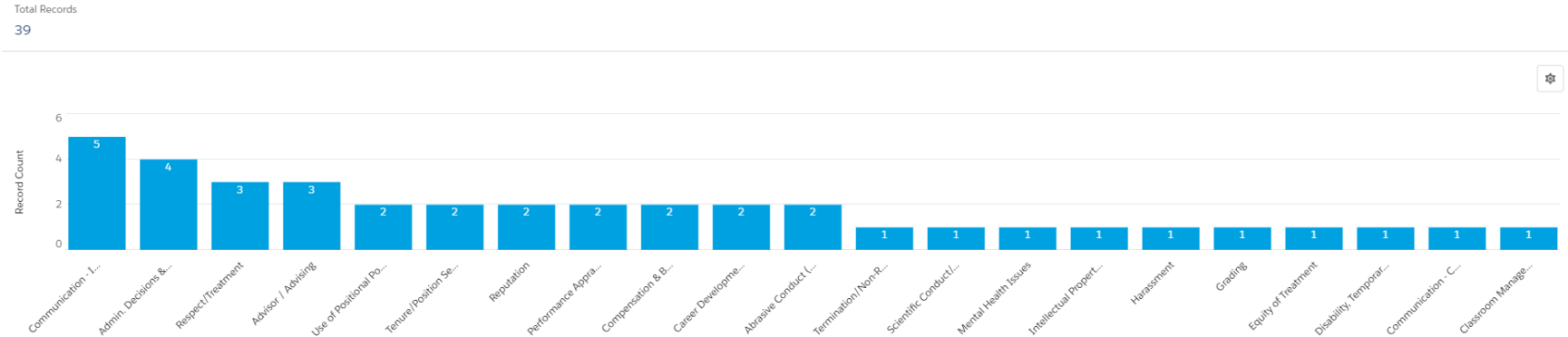
Professor Case Concerns



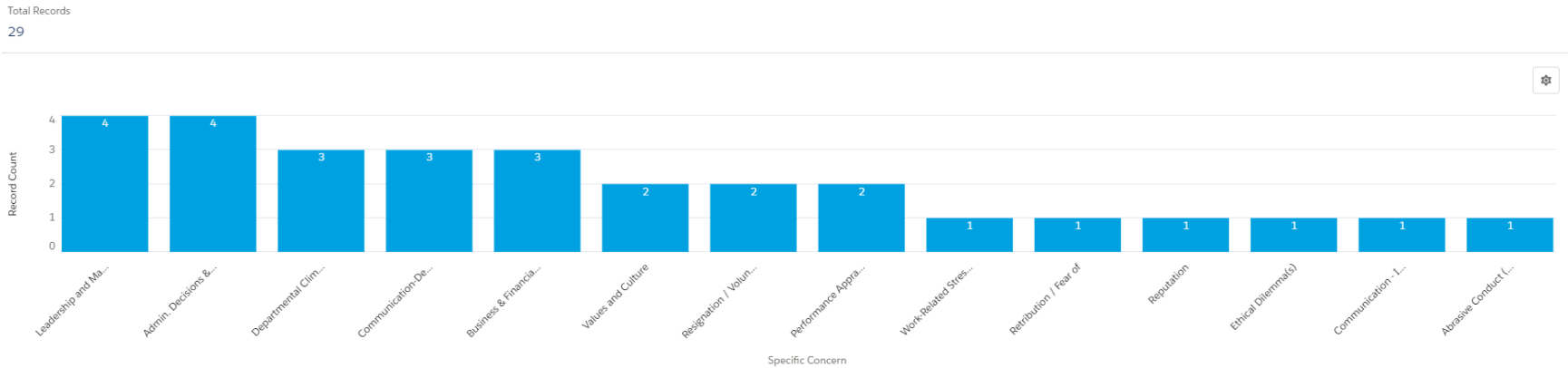
Associate Professor Case Concerns



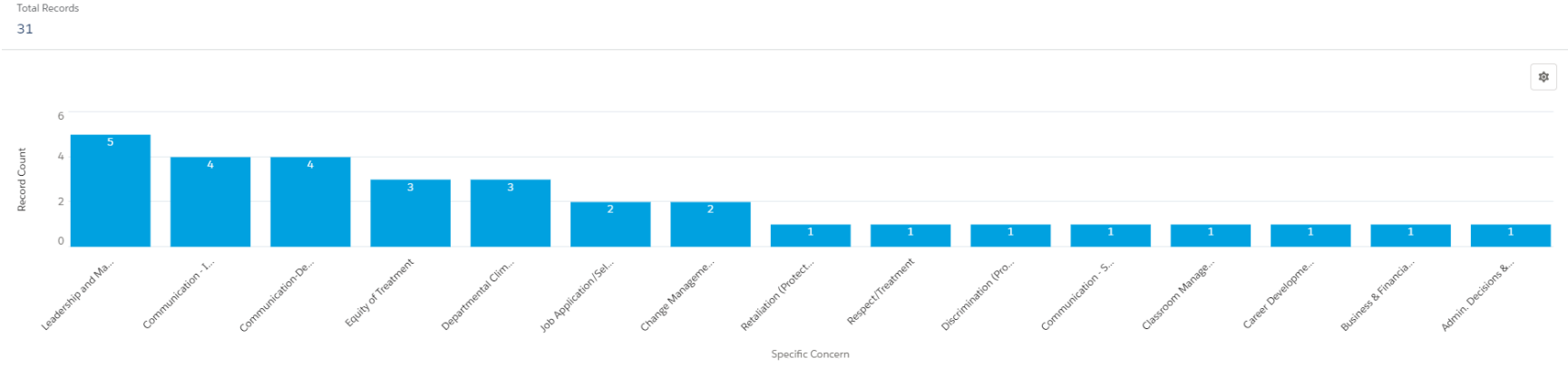
Assistant Professor Case Concerns



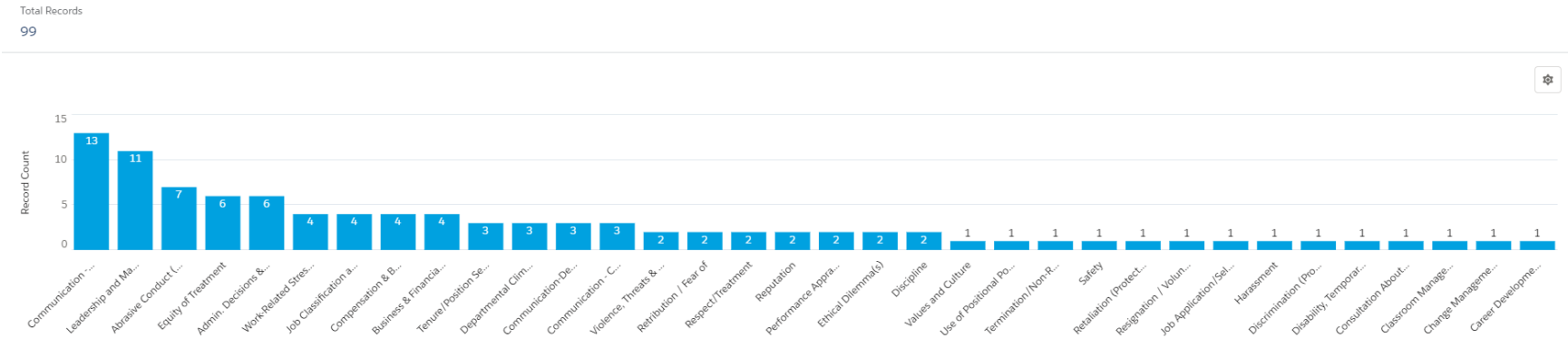
Research Faculty Case Concerns



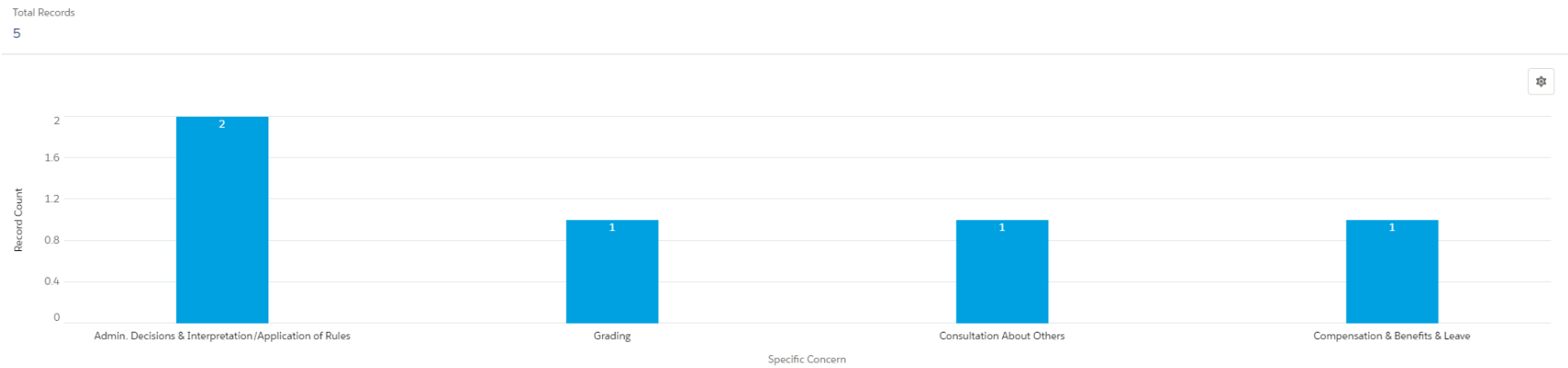
Lecturer Case Concerns



Instructor Case Concerns

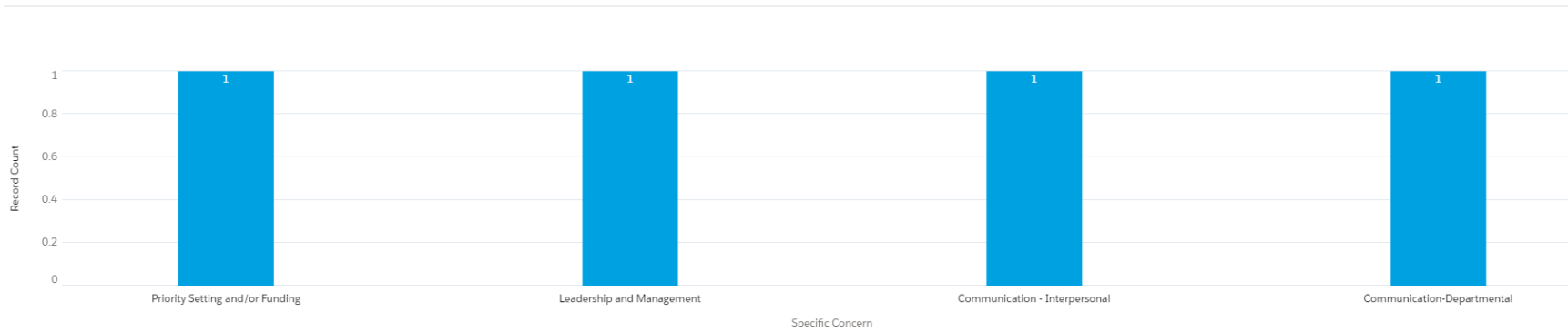


Other

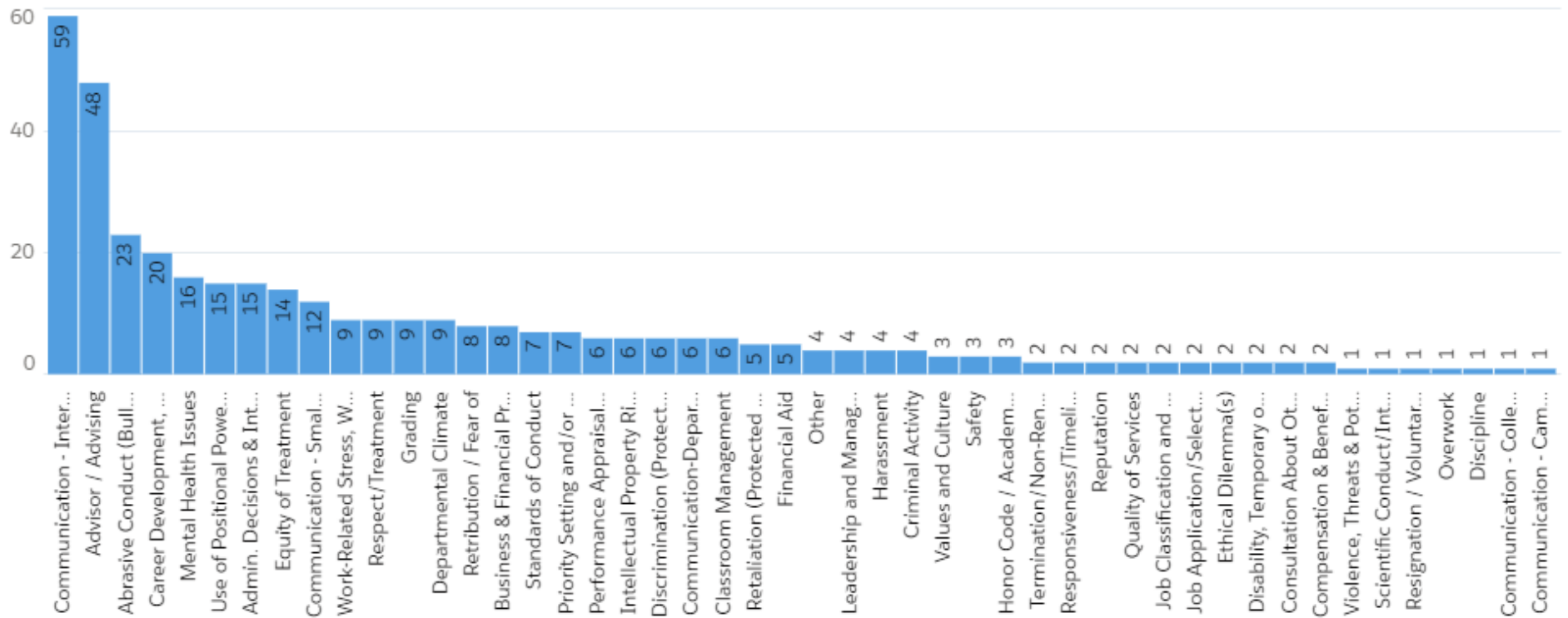


Unknown

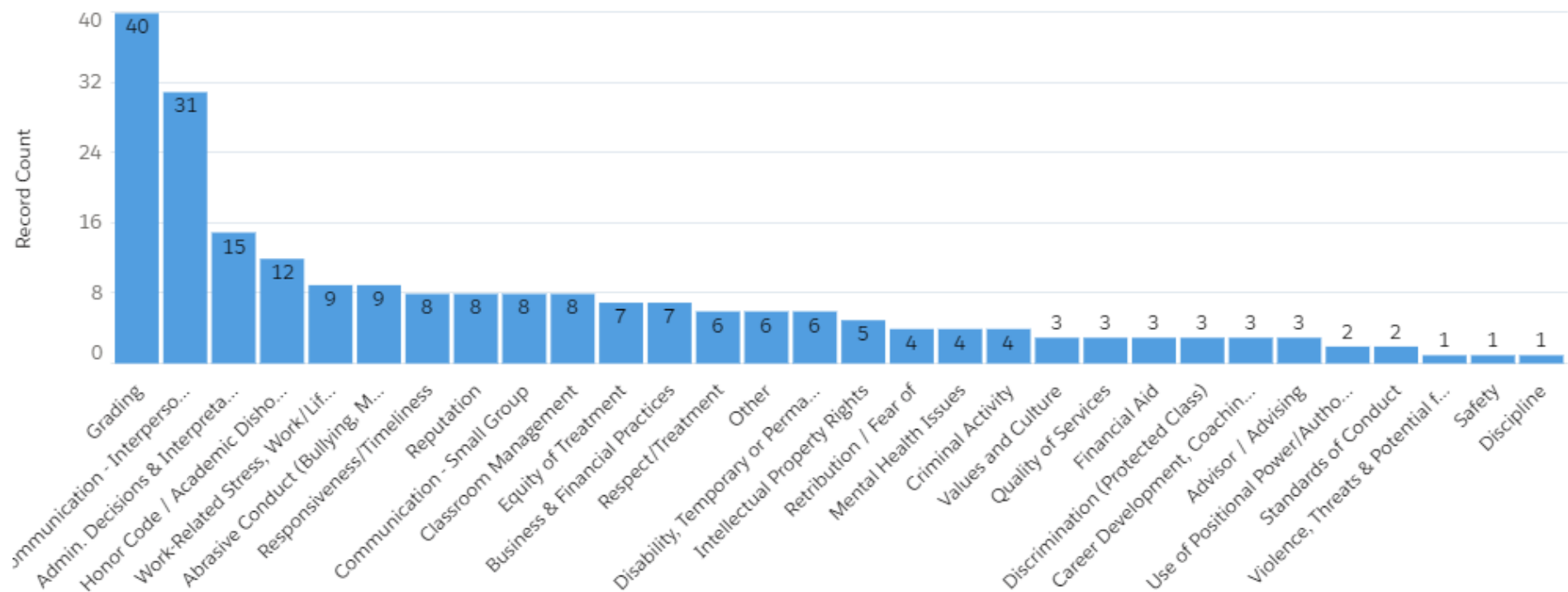
Total Records
4



Appendix H: Graduate Student Concerns

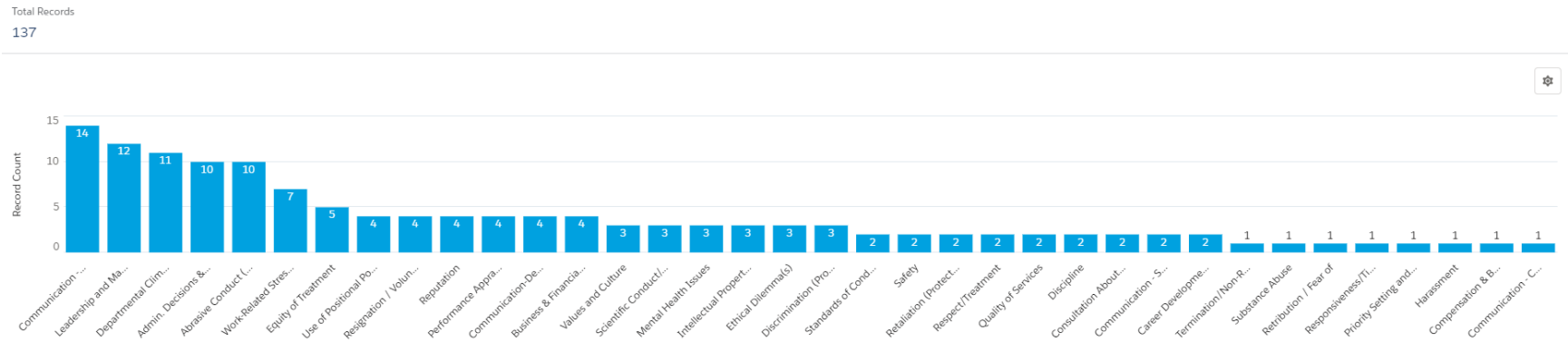


Appendix I: Undergraduate Student Concerns

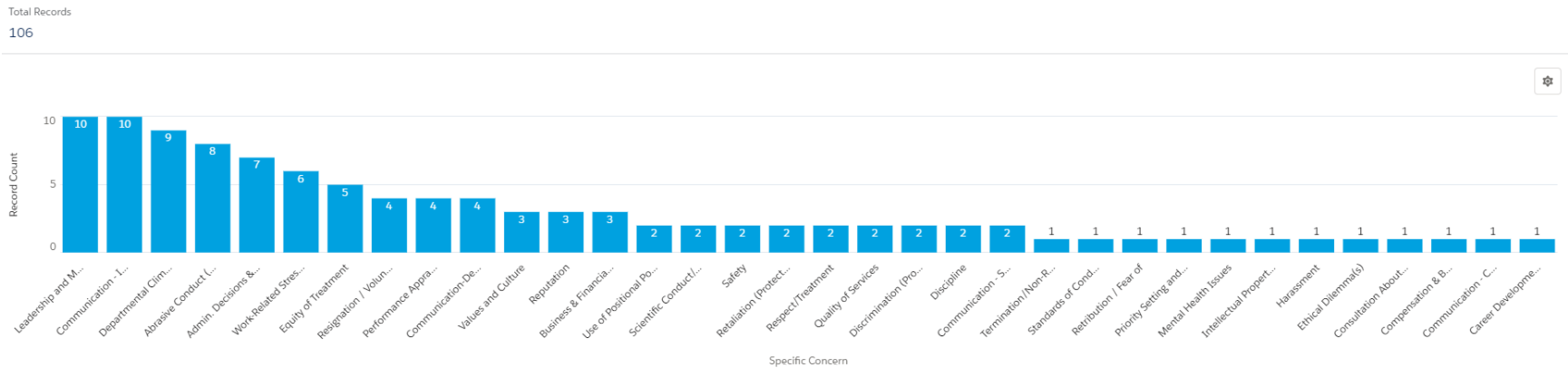


Appendix J: Researcher Concerns

All Researcher Concerns

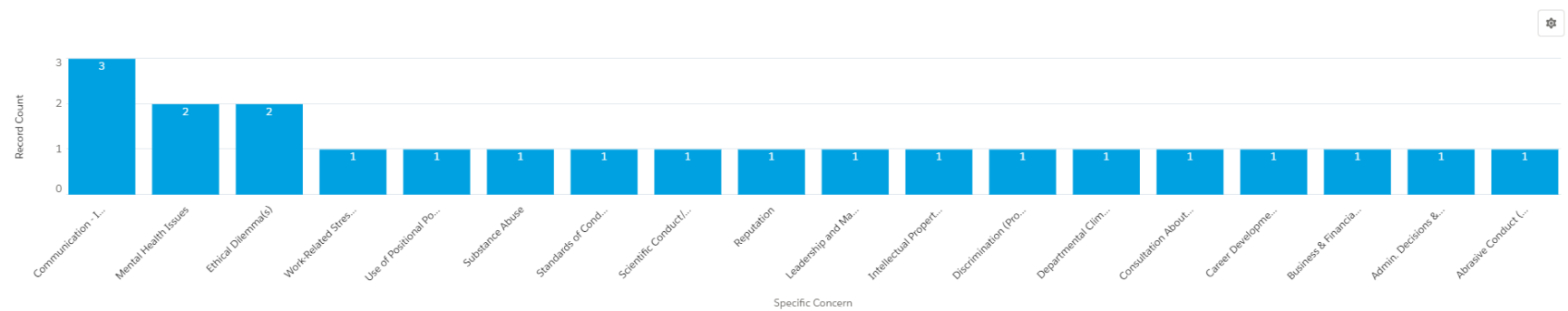


PRA Concerns Specifically



Post-Doc Concerns Specifically

Total Records
22



Appendix K: Administrator Concerns

