

Office of the Ombuds

End of Year Report July 2012 – June 2013



University of California, San Francisco

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Acknowledgement

The Office of the Ombuds would like to thank Vice Provost for Academic Affairs Sally Marshall for her gracious support. Dr. Marshall, who retired June 30, 2013, was instrumental in the establishment of the office. Her strong leadership skills have made a positive impact on many programs vital to academic and professional experiences at UCSF, including the Office of the Ombuds which offers a unique and critical service that is confidential, neutral, independent and informal. Dr. Marshall's respect for the Standards of Practice of the International Ombuds Association has been of tremendous value to the office, and ultimately, to the UCSF community. We wish her well in her retirement!



Office of the Ombuds Background

UCSF is committed to fair policies and procedures and recognizes the value of providing alternative resources to raise concerns and informally address conflicts and disputes within our community. In May, 2011, UCSF launched the Office of the Ombuds as an integral part of this commitment.

The Office of the Ombuds is a resource for all members of the UCSF community - faculty, staff, administrators, students, post-doctoral fellows and other trainees - that provides a confidential, neutral, informal, and independent place to talk about campus-related problems and concerns. The Office of the Ombuds helps visitors identify and evaluate options, provides information and makes referrals when necessary, facilitates conversations between conflicting parties through mediation services, and provides trainings and workshops on conflict management and team-building.

Creation of the Office of the Ombuds occurred on July 1, 2011 through conversion of the former Work Life Resource Center (WLRC). The WLRC previously included the Problem Resolution Center, Supportive Work Environment, and the Office of Sexual Harassment Prevention and Resolution. The Office of the Ombuds programs and services were restructured for alignment with the Standards of Practice developed by the International Ombudsman Association (IOA) (Appendix). The Office of Sexual Harassment Prevention and Resolution was transferred to the Office of Diversity and Outreach. Mediation Services, Conflict Management and Work Life Services remain in the Office of the Ombuds in support of initiatives that teach and improve interpersonal and organizational communications. In consultation with Campus Counsel and Labor and Employee Relations, the UCSF Office of the Ombuds Charter was finalized and is consistent with the IOA Standards of Practice and the IOA Code of Ethics (Appendix) The Office functions independently and reports to the Vice Provost for Academic Affairs for administrative purposes.

The Office of the Ombuds supports the three-year plan announced by Chancellor Desmond-Hellman by helping to create a workplace of choice for diverse, top-tier talent and attracting and supporting the most talented and diverse trainees in the health sciences.

Office of the Ombuds Overview

MISSION STATEMENT

The Mission of the Office of the Ombuds is to humanize the experience of working and learning at UCSF by providing confidential, neutral, informal and independent problem-solving, dispute resolution and mediation and team development services to members of the diverse UCSF community predicated on the principles of fairness, equity and respect.

STAFF

Randy Daron, PsyD – Ombuds/Director

Maureen Brodie, MA – Mediation Officer and Associate Ombuds

Ellen Goldstein, MA – Associate Mediation and Group Facilitation Officer

Charleane Williams – Program Coordinator

Kathy Biala, RN, CNS, MS – Ombuds Liaison, UCSF Fresno (This position converted to a .25 staff position in July 2013 following the internship pilot year.)

Additionally, the Office maintains a cadre of volunteer mediators, UCSF faculty and staff who have undergone a 40-hour training in workplace mediation. Currently, there are 57 trained volunteer mediators, with 30 active members.

ETHICAL PRINCIPLES

In accordance with the key elements of the International Ombudsman Association (IOA) Ethics and Standards, the UCSF Office of the Ombuds is:

Confidential – The identities of visitors and their communications with the Office remain private. Only with permission will the Ombuds contact other persons as necessary to address a concern. The only exceptions to confidentiality are disclosures of an imminent risk of serious harm.

Informal – The Office does not investigate, arbitrate, adjudicate or in any other way participate in any internal or external formal process or action. The Office does not keep records for the University, and maintains no documents or records other than statistical data and Agreement to Mediate forms. Use of informal dispute resolution and mediation services may be utilized as an alternative to formal processes and procedures. The use of the Office is strictly voluntary.

Neutral/Impartial – The Office does not take sides in any conflict, dispute or issue and maintains no personal stake in the outcome of any dispute. The Office considers the legitimate concerns and interests of all parties involved in the matter under consideration to

assist the individual in developing a range of possible options to resolve problems and facilitate discussion. The Office does not advocate for individuals.

Independent – The Office exercises autonomy and freedom from interference in the performance of its duties and responsibilities. This is accomplished primarily through reporting structure, neutrality and organizational recognition and respect for the independent role of the Office of the Ombuds. The Director of the Office reports to the Vice Provost of Academic Affairs for administrative purposes only.

SERVICES DELIVERED

The Office of the Ombuds provides an array of conflict management and problem-solving services to all members of the UCSF community. We provide 1) individual consultation and coaching; 2) two or multiple-party mediations and group facilitation; 3) group trainings and workshops.

The service options are offered to visitors, based on their presenting complaint(s). All requests for service are addressed through an initial individual ombuds appointment where the visitor can identify his or her concern, understand the conflict situations and discuss effective ways to respond, including services or a sequence of services delivered through our office. Initial interviews are primarily conducted in person, although interviews are conducted by phone if this is not possible.

1) Individual Services

All visitors begin with an intake to clarify the concern. Depending on needs of the visitor, the Office of the Ombuds provides coaching on strategies for responding productively to an interpersonal or institutional conflict or concern and work towards a resolution. An individual considering filing a complaint can explore options to resolve matters, resulting in more constructive and collaborative relationships. With permission from the visitor, the Ombuds might contact another UCSF employee for information about the application of policies or procedures relevant to the situation presented by the visitor. Finally, visitors may be unfamiliar with available channels or resources and benefit from a referral to Human Resources, the Office of Academic Affairs, the appropriate Vice-Dean, the Office of Diversity and Outreach, Faculty and Staff Assistance Program or Student Counseling Services. In an Office of the Ombuds appointment, we:

- *Listen to and clarify interests and issues*
- *Explore options and resources*
- *Provide consultation or coaching on conflict situations*
- *Facilitate resolution of concerns through contact with others*
- *Make referrals*

2) Mediation

Mediation between two or more parties is also offered on a voluntary basis and allows for parties to resolve conflicts with the support of a neutral mediator. Mediation is sometimes provided by a two-person panel, with a lead professional mediator from the Office of the Ombuds. Mediation begins with individual intake interviews of each participant, followed by one or more 3-hour sessions. Group mediation is offered for conflict management, with services designed to meet the needs of that particular group. The mediation process can be sequenced to begin with initial intakes followed by coaching sessions to get parties ready for a successful mediation, culminating with the mediation meeting (or series of meetings.)

- *Mediation is voluntary, as success depends on both parties' good faith participation.*
- *Confidentiality is specifically protected by California state law.*
- *Mediation is facilitated by (an) impartial mediator(s):*
 - *Individual intake interview of each party (1 hour)*
 - *Joint session (3 hours)*
 - *Move toward understanding and agreement*

3) Group facilitation

When a visitor comes to the Office of the Ombuds reporting concerns regarding workplace climate, we often use a systems and/or organizational development approach to assess the unit's dynamics and recommend support strategies. In these cases, we typically interview as many involved parties as volunteer to engage with our services, synthesize and report themes to the leadership, and recommend strategies to address the key issues. Responses might include training, a facilitated conversation, individual or group mediations, or coaching of one or more individuals. Increasingly, the work of the Office of the Ombuds responds to requests that include full departments or teams.

4) Workshops and Trainings

In order to support learning in conflict management skills, address existing complaints, or promote team-building to manage conflict in a pro-active, skill-building fashion, the Office also provides trainings to work teams or units, students and other trainees, and volunteer mediators. Two validated assessment tools are often used to personalize the learning: Thomas-Kilmann Conflict Mode Instrument and True Colors Temperament assessment. As with the other services, workshops and trainings can be sequenced to meet the evolving needs of a group as they become better able to address group dynamics.

Topics include:

- *Communication protocols*
- *Difficult conversations*
- *Managing conflict*
- *Thomas-Kilmann Conflict Mode Instrument*
- *True Colors Temperament assessment*
- *Organizational development issues*

5) Outreach and Leadership

Office of the Ombuds services are publicized through focused outreach meetings with leadership in Deans' Offices, Human Resources, and other organizational units; participation at campus events such as student orientations, new student fairs, and Faculty Development Day; and during trainings and workshops to faculty, staff, and learners. A website and office literature have been developed for marketing the Office as a resource. Office of the Ombuds materials are distributed at various events, trainings and workshops, and in new student and employee packets. Members of the Office provide consultation on replicating Ombuds services to outside organizations, collaborate on developing conflict management competency within UCSF, and serve on committees where issues directly relevant to the mission of the Office are addressed.

Program Accomplishments

- **Delivery of services**

During fiscal year 2012-2013, the Office of the Ombuds delivered the following services:

- ✓ 461 intakes for Ombuds services (individual and group services and workshop/trainings)
 - 214 separate conflicts/concerns were brought by one or more individuals
 - 413 visitors received consultation, coaching, referral, and/or mediation
 - 413 visitors received consultation
 - 181 visitors received coaching
 - 39 visitors received referrals
 - 46 visitors participated in 25 mediations (Note – some intakes were done with mediation services provided, however the other party chose not to move forward with the process.
 - 37 visitors participated in 8 group mediations
 - 124 people in 18 teams received group facilitation services
 - 1,025 people were trained in 43 workshops/ trainings
- ✓ 5 requests for Office of the Ombuds members to serve in leadership functions were met
- ✓ 791 people were reached through 24 outreach sessions

- **High Satisfaction with Services Provided**

It is a considerable challenge to gather outcome data in a manner consistent with the ethics and standards of Ombuds principles. Due to confidentiality concerns and standards outlined in our Charter, e-mails are not sent to visitors after they've completed their work with us. Methods for distributing surveys include evaluation forms that can be provided in-person or accessed on the Office website for printing and returning to the office via fax or campus mail.

Some notable comments follow:

- *“I met with the Ombuds Office before the New Year. I was given information as well as many tips and strategies to use that I have found very, very helpful. I have been approaching situations with much more confidence since then, and feel like things have improved immensely, at least from my own standpoint.”*
- *“This mediation would not have been successful without the Office of the Ombuds. I really appreciate the effort on handling my case. I am glad I asked for help and am very satisfied with the outcome of the meeting.”*
- *“You are inspiring and your counsel has been invaluable.”*
- *“I believe the relationship is greatly improved as a result of your efforts.”*

- *“The Ombuds Office offered meaningful and effective suggestions on how to best communicate to resolve my conflict. I felt completely at ease confiding my conflict and the Office helped me to phrase my thoughts in the best possible way. If only I had known of this service earlier!”*
- *“(My colleague) shared with me how helpful you have been working with (her unit) the past couple of months. She and the team are very pleased with how you have helped them talk about issues in the unit, and it’s gone a long way to let the team know that the organization cares about them and is listening to them. Thanks so much for your help!”*

- **Ombuds Liaison for UCSF Fresno Campus**

During FY 2012-2013, the Office of the Ombuds created a one-year internship program and accepted an Ombuds intern, Kathy Biala, who resides in Fresno to specifically work with faculty, staff and trainees at the Fresno Graduate Medical Education Program. This intern was exceptionally qualified due to her significant career as a healthcare professional who had previously completed training in conflict management, mediation, Ombuds course work and held certification as a Long Term Care Ombudsman. The internship provided Ms. Biala in-depth weekly case review, co-facilitation of group work and group training, access to educational resources with gradual assumption of more independence of practice under the mentorship of the experienced UCSF Ombuds staff. In turn, she proposed a system of data collection for risk categories that was piloted at UCSF and presented at the International Ombudsman Association annual conference with a publication in process. Overall, the internship was a notable success, providing additional outreach from the Office of the Ombuds to the Fresno program, with highly effective services rendered. Through funding support from the UCSF Fresno site, the Office of the Ombuds was able to offer a part-time position to Ms. Biala to continue services in Fresno as the Liaison Ombuds.

- **Innovation: development of Risk Category data**

To capture information about the kinds of risks to the University that the Ombuds cases represent, we established risk categories and began coding all intakes according to these seven categories. The risk categories were developed based on research in Ombuds and associated fields.

We objectively code a concern with a risk category based on explicit visitor statements as they present their issues. The risk categories are one measure for capturing the concerns of all stakeholders, either individual visitors or organizational leaders. Data collection and reporting of risk categories maintains adherence to our principles of confidentiality. It has been our experience in this past year that many Ombuds cases do not fall into any risk category; however, those that do may have one or more applicable categories and are counted as such. Two hundred and fifteen of the 461 Ombuds cases were coded with

any risk category. Further, risk categories document initial potential actions but do not represent completed actions towards resolution of the issues.

The seven categories are:

1. Loss of departmental productivity – *indication that conflict is affecting matters in a widespread manner, negatively affecting the departmental or unit output.*
2. Unwarranted staff attrition/transfer – *the visitor (or others) leave the department to distance themselves from a conflict.*
3. Negative publicity – *indication that the visitor has or intends to discuss the conflict with others who may be stakeholders, recipients, or potential candidates for a particular area or service.*
4. Significant violations of policy/Code of Conduct – *the visitor communicates actions which appear to be in violation of university policy.*
5. Potential for internal/external grievances – *the visitor communicates a plan to file a complaint with a formal UCSF or external office of record.*
6. Litigation potential – *the visitor states that they are seeking (or have obtained) advice of legal counsel*
7. High risk safety issue – *the visitor communicates factors which pose a safety threat such as environmental hazard, violence potential, or clinical care concern.*

The Office of the Ombuds presented these categories at the IOA annual conference in a seminar entitled “A Case for Visibility in the Organization.” The presentation highlighted the challenges of an office’s confidential ombuds work while maintaining an effective and appropriate level of visibility in an organization to demonstrate its value. Members of the IOA board who attended were optimistic and interested in the value of this novel strategy for categorization.

Collecting risk category data can assist in estimating costs associated with concerns addressed through the Office of the Ombuds. Similar data show that each employment liability claim carries a six-figure potential cost, which is substantially mitigated when parties have access to services, such as neutral conciliation and problem resolution, offered through the Office of the Ombuds.

- **Arthur Vining Davis grant**

The Office of the Ombuds is a primary team member of a multi-institutional collaboration which was awarded a grant to address conflict management in health sciences education. The goal is to create an easily accessible, media-rich, customizable curriculum for training interprofessional teams of nurses, social workers/psychologists, physician assistants, and physicians that focuses on evidence -based approaches to productively managing common conflicts to improve patient-centered healthcare. The project lead is Dr. Michael

Wilkes, who is a professor of medicine and the Director of Global Health in the School of Medicine at UC Davis. In addition to UC Davis and UCSF, other institutions who are partners on the grant include UCLA, California State University—Sacramento, and University of the Pacific McGeorge School of Law.

- **Conflict Management Training Course**

In 2012-13, the Office of the Ombuds developed, piloted, and then repeated a 9-hour course on providing Conflict Management services to faculty members and staff representing units across the University. The goal of this three session course was to train members of diverse teams to serve as local Conflict Managers who could provide skilled, site-specific support and intervention when conflicts were contained and more easily managed. Forty-eight individuals representing 23 units attended the course. By “seeding” the University with conflict-competent individuals who could serve as resources, we hope to increase the number of conflicts that are addressed early, when solutions are more likely to be successful. Evaluations of both series of our Conflict Management Training Course were very positive, and we plan to continue providing this service in the coming year.

- **Improved Office of the Ombuds Practices and Procedures**

In the first year as an Office of the Ombuds, an initial data collection system was piloted to define and track cases based on issues and participants involved. In FY 2012-2013, we accomplished the following:

- Refined the system to provide more detail and accurately reflect the complexity of our work, aligning where possible with other Offices of the Ombuds within UC and across the country.
- Revised intake forms and case progress documentation to capture process.
- Formalized, with consultation from the Office of Legal Affairs, our document destruction policy and put more stringent procedures into practice.
- Developed a new system for counting group case data to show number of issues and number of visitors involved in each issue.

- **Institutional support**

- **Standing Committees**

- *Chancellor’s Advisory Committee on Childcare*
- *Chancellor’s Advisory Committee on the Status of Women*
- *Wellness Committee*
- *Staff Subcommittee on Outreach and Diversity*
- *University Community Partnerships*

- **Workgroup on Students Experiencing Academic Difficulties**

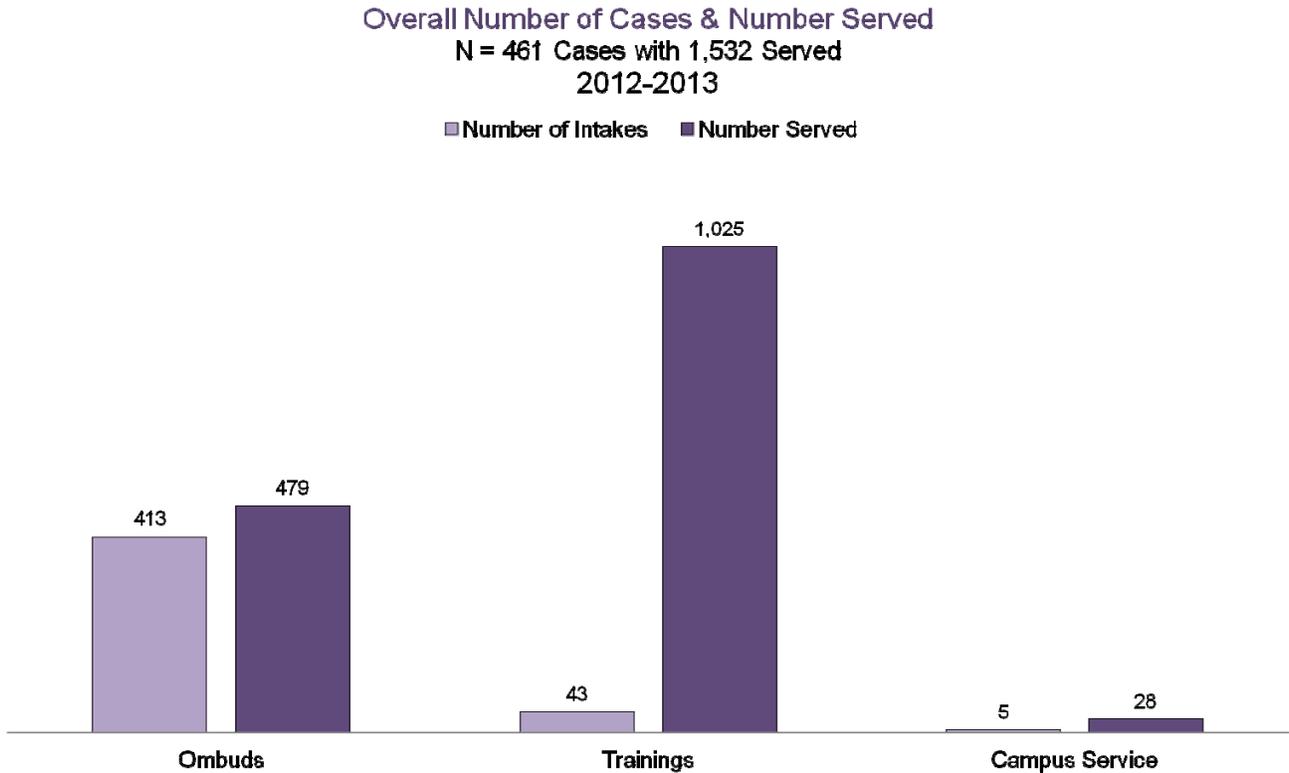
The Ombuds participated on a task force comprised of leadership across the campus whose charge was to study the issue of health professions students experiencing academic difficulty at UCSF. The group reviewed relevant literature, surveyed practices in the four health professions schools and comparison institutions, and incorporated perspectives and expertise of various stakeholders and colleagues. The task force outlined a series of recommendations that build upon existing services, programs and processes in place to identify and support students who experience academic difficulty.

- **College and University Work-Life-Family Association (CUWFA)**

Randy Daron serves as Vice-President on the board of directors of CUWFA. CUWFA is comprised of leaders from colleges and universities in US and Canada who are concerned and have a stake in facilitating the integration of work and study with family/personal life at institutions of higher learning. The mission supports the broader goals of creating a healthy and productive environment and enhancing work-life effectiveness of employees.

Case Data - Overall

SERVICES PROVIDED: OVERALL

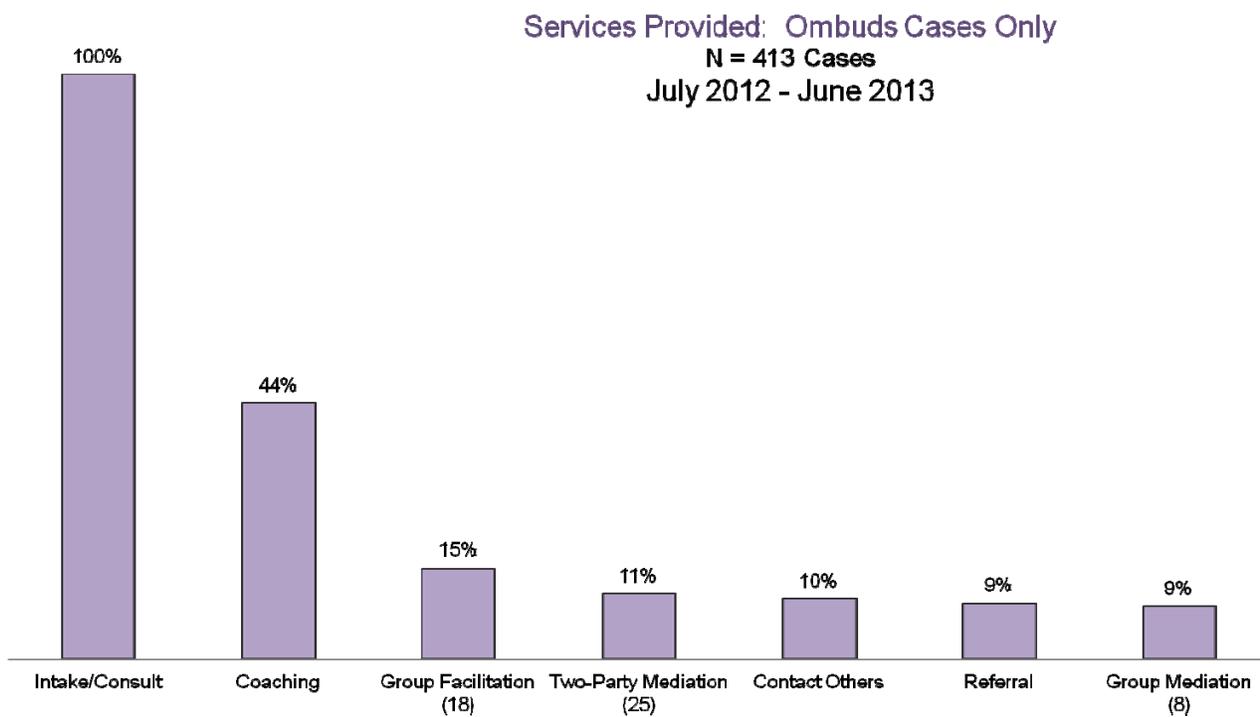


Ombuds cases are defined as individual consultation, coaching, two-party or multiple-party mediation, and group facilitation. Ombuds cases respond to an identified issue and request for assistance in addressing or resolving an issue.

Trainings and workshops refer to the delivery of tailored curricula designed for skills-building.

Campus service refers to Ombuds participation in leadership roles at UCSF consistent with our mission and principles.

SERVICES PROVIDED: OMBUDS ONLY



Intake/consultation – Initial (and on-going) discussion with user to identify and clarify concern.

Coaching – Assisting a visitor to develop interpersonal conflict management approaches and identify other University resources to work towards objectives.

Group Facilitation – Bringing teams, units, or departments together where there is agreement to work with the team to address conflict or concerns.

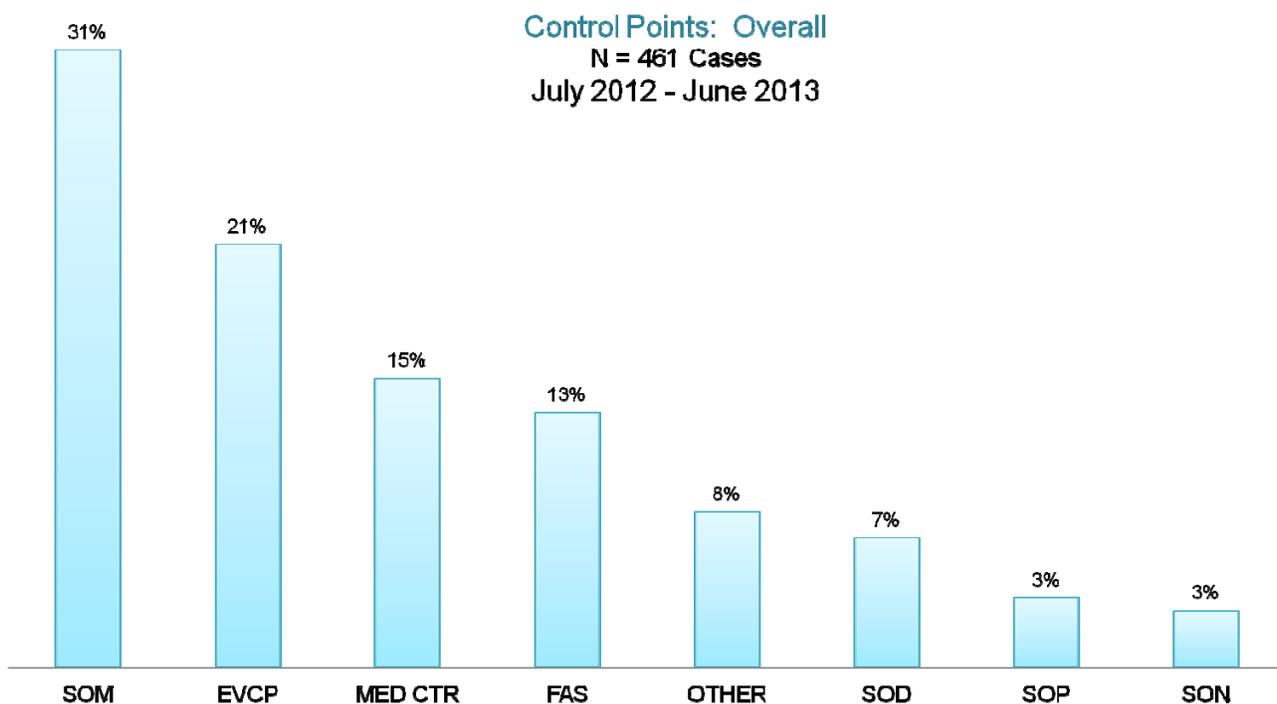
Two-Party Mediation – A process in which two individuals come together with a neutral mediator to address a conflict/dispute and to reach an understanding or agreement.

Contact Others – situations where, at the permission of the party, others involved in an issue are engaged in the effort to address a visitors concern(s).

Referral – Appropriate UCSF resources are identified to address a visitor concern.

Group Mediation – A mediation with more than two parties.

CONTROL POINT

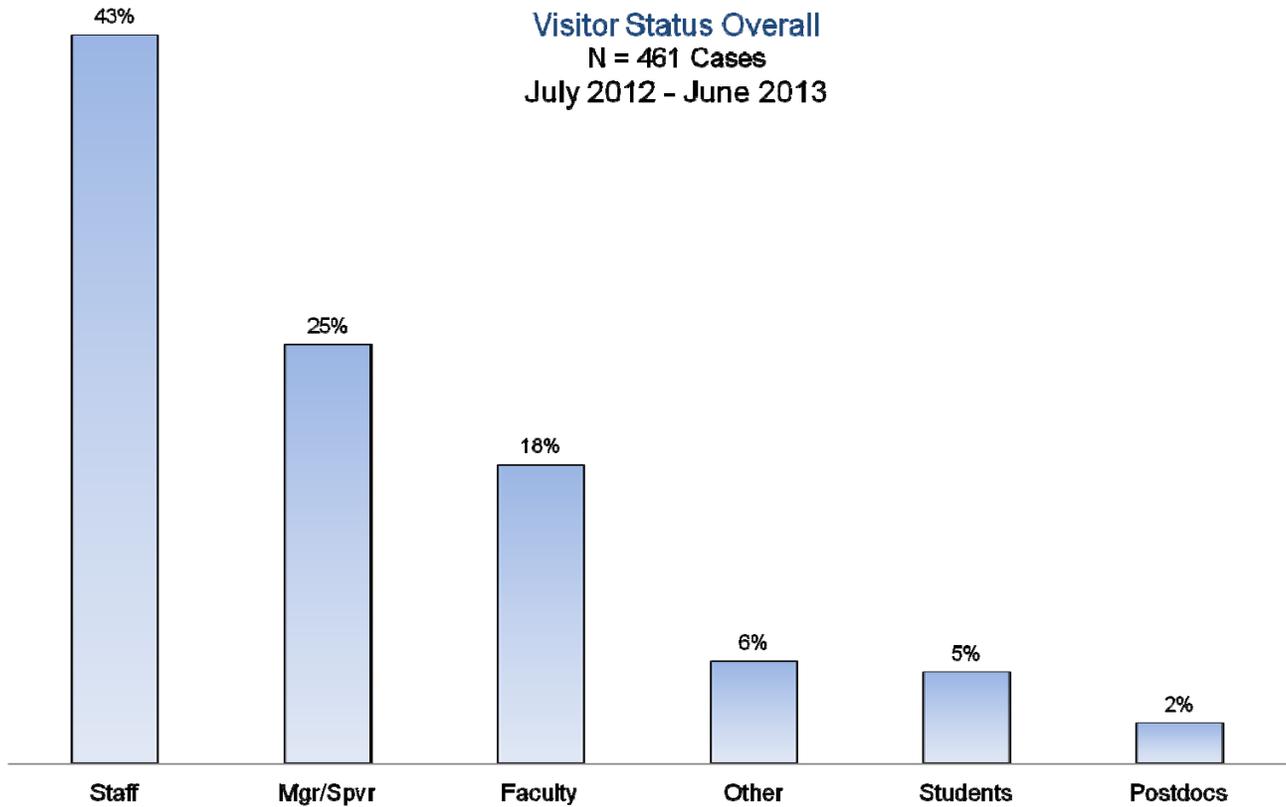


Analysis of Ombuds services by control point is another way of representing the reach of the Office of the Ombuds. Utilizing the standard, unique control points at UCSF, the table above shows the organizational home for the services received. The “Other” category is comprised of small units where identification of the unit might risk identifying users. For workshops and trainings, the requestor’s control point is recorded. In many trainings and workshops, individuals from only one control point are served. (See Glossary for key to abbreviations.)

Using Office of the Ombuds services does not necessarily indicate team conflict. In addition to conflict management services, the office serves as a resource for professional development in the areas of communication and conflict management.

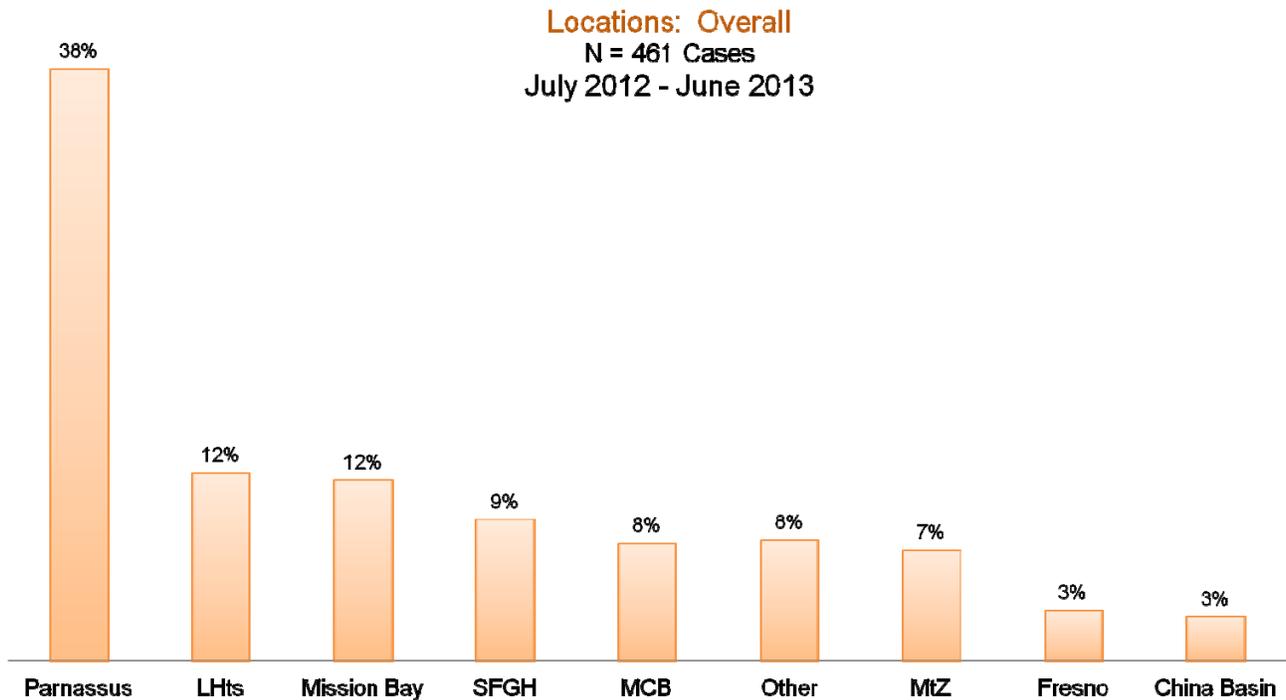
(Please see Appendices: Campus Organizational Chart for a reference of units and departments reporting to each control point.)

INDIVIDUAL CASE-RELATED CONTACTS



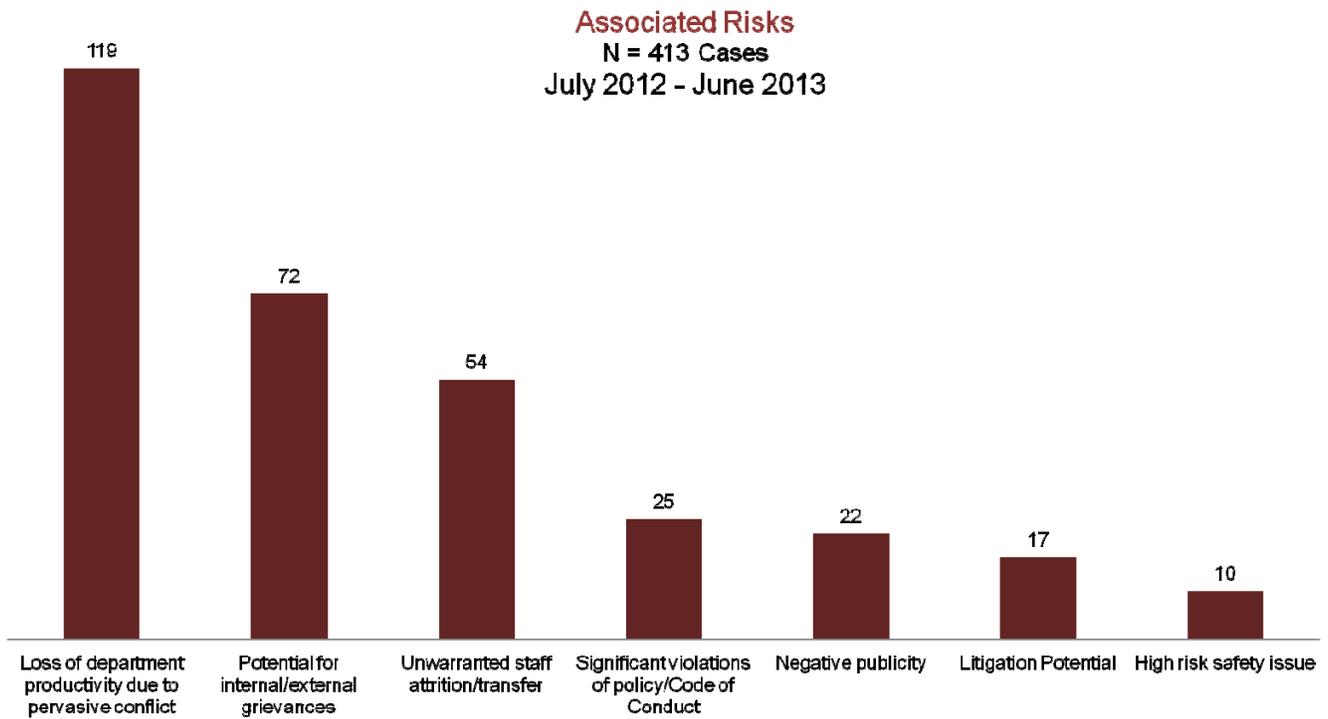
The Office of the Ombuds assists a diverse constituency of the UCSF community. The “Other” category denotes fellows, graduate students, residents, and non-UCSF members who work in partnership with UCSF faculty and staff on integrated teams. This table includes data on the requestor for workshops and training, using the status of the requestor except where the requestor is a faculty member requesting training for a student or trainee group. In those cases, we recorded the visitor status as either students or post-docs to better reflect services addressing their needs.

LOCATION



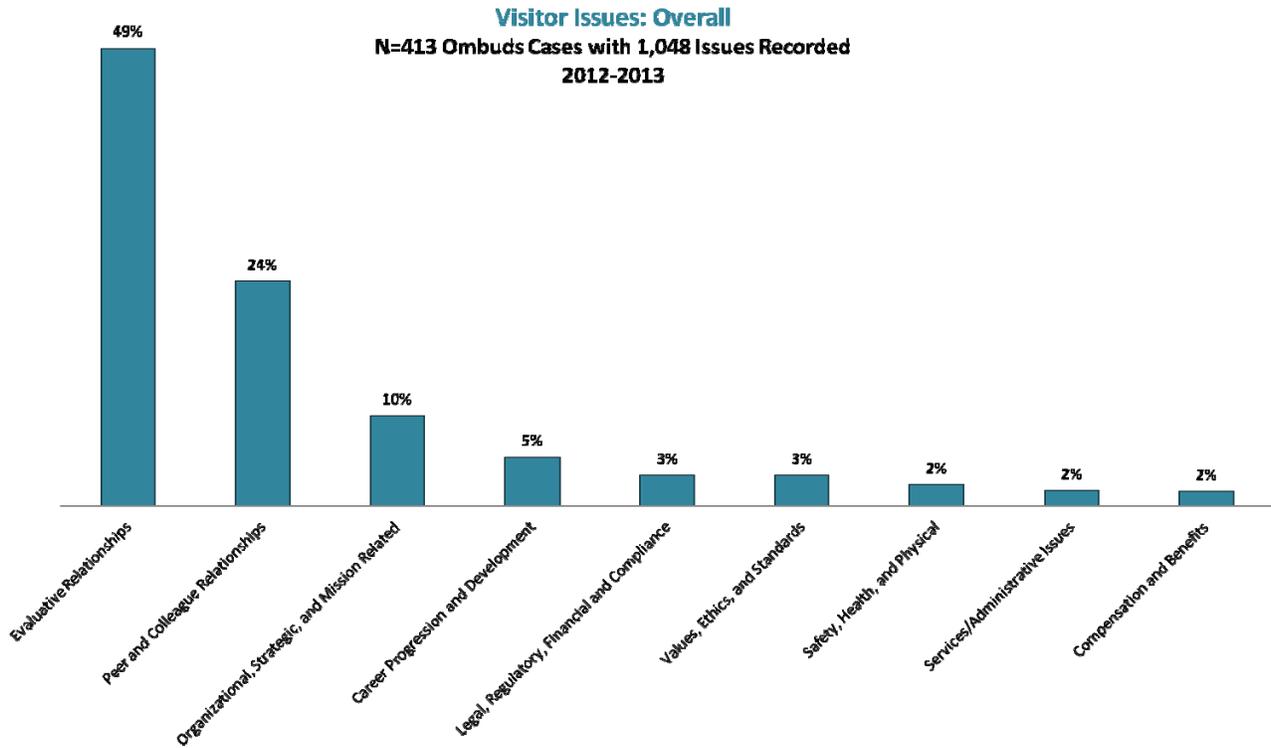
The Office of the Ombuds serves constituents across the diverse campus sites of UCSF. The largest percentage served is on the Parnassus campus (38%). However, Laurel Heights comprised 12% and Mission Bay 12% of users of Ombuds services. The total percentages and campus location served can be seen on the chart above. The “Other” category is comprised of 16 other locations where identification of the location might risk identifying users. (See Glossary for key to abbreviations.)

Risk Categories



The Office of the Ombuds has implemented an innovative coding to Risk Categories to capture objective information about self-defined risks that the visitors identify as possible consequences to their unresolved conflict. Not all visitors identify any of the risk categories, in which case no code would be applied, while others might name several risks, all of which would be coded. Two hundred and fifteen of 413 cases were coded with at least one associated risk.

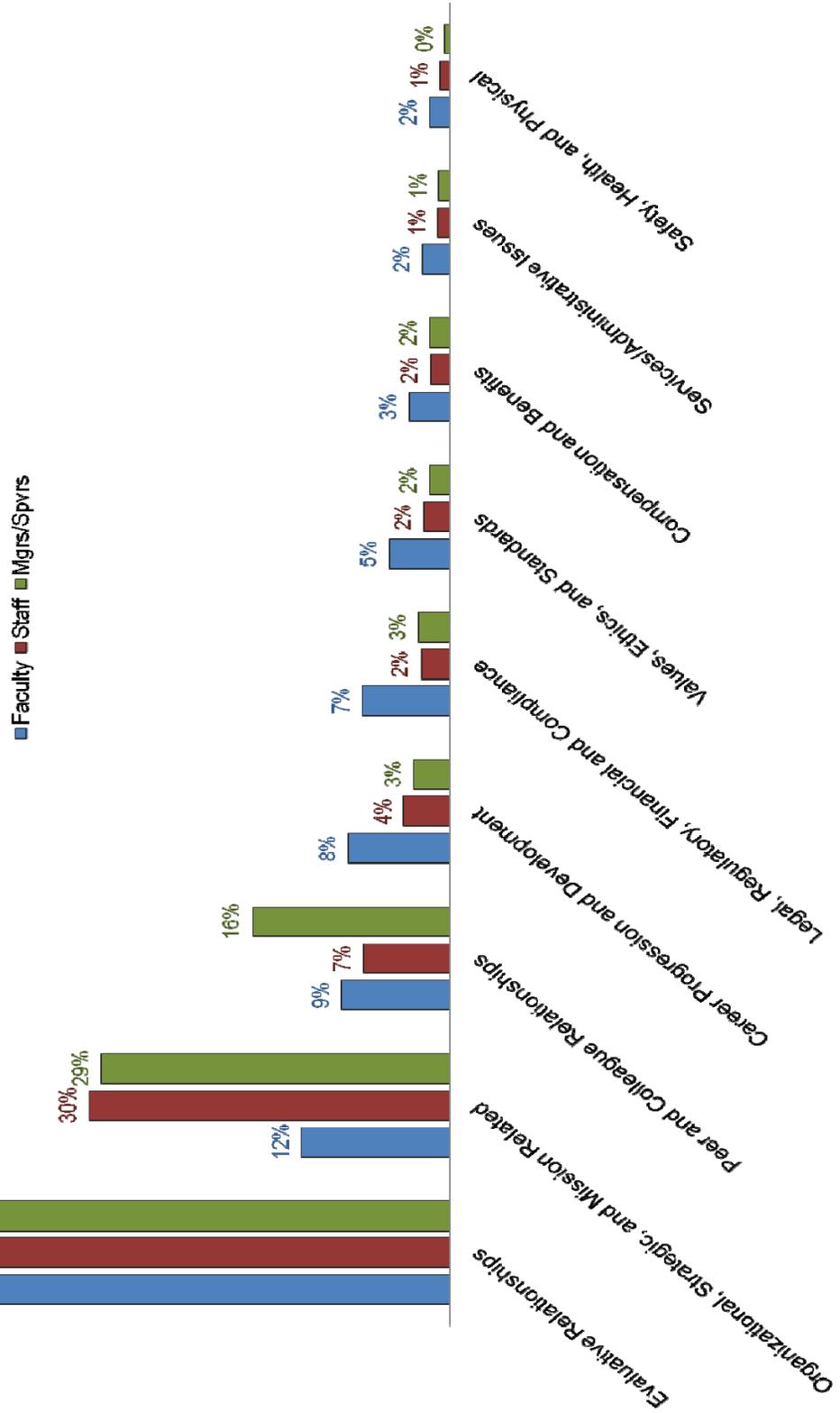
VISITOR ISSUES AND CONCERNS



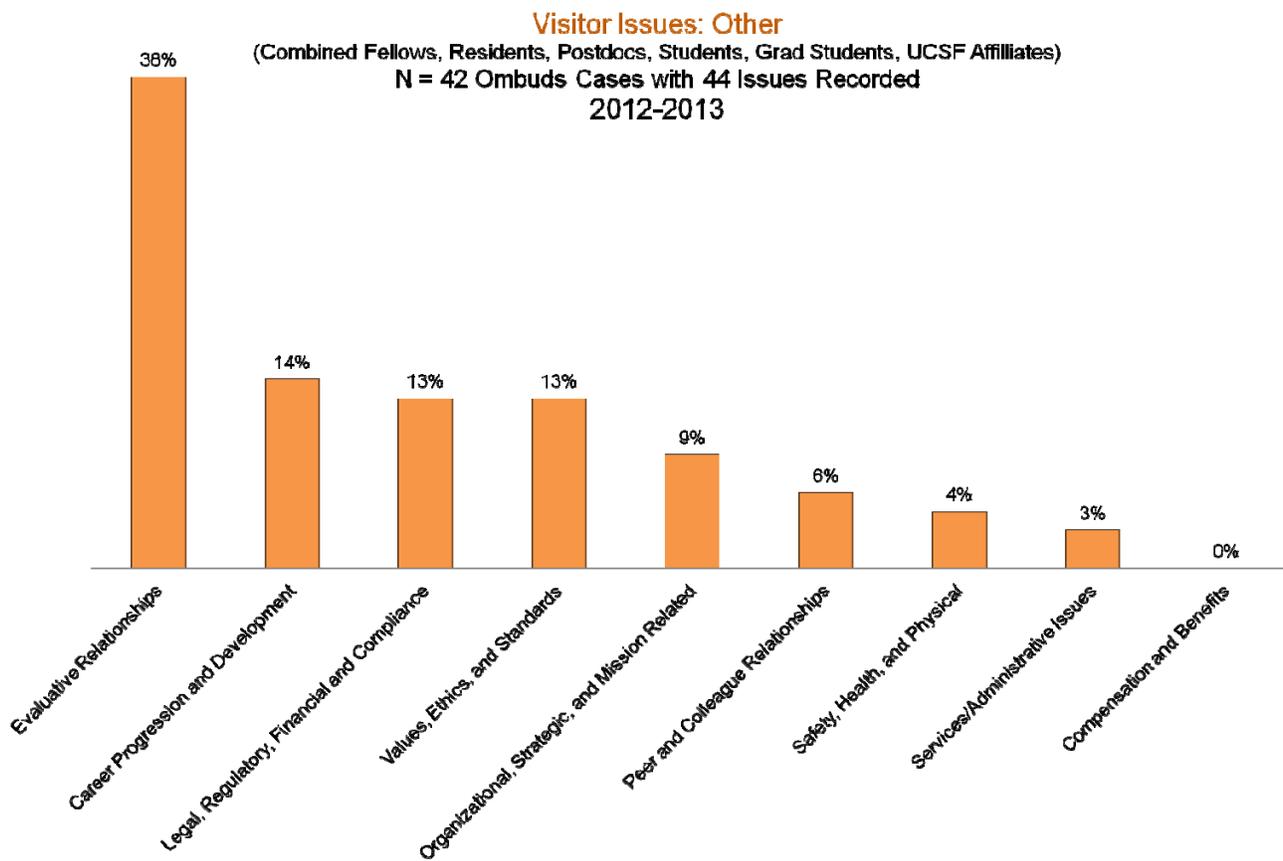
The Office of the Ombuds uses the classification system developed by the International Ombudsman Association in 2001 and revised in 2007 (See Appendix). This system includes nine broad, unique categories and approximately 85 subcategories which we use to classify the issues, questions, and concerns that lead the visitor to contact with the Office. Visitors may raise several issues; however, we have found that the concerns can be captured on a primary, secondary, and tertiary basis.

TOP THREE ISSUES FOR FACULTY, STAFF, MANAGERS/SUPERVISORS

Visitor Issues and Concerns
Faculty: N= 74 Cases, 180 Issues Recorded
Staff: N=195 Cases, 532 Issues Recorded
Mgrs/Spvrs: N= 99 Cases, 249 Issues Recorded
July 2012-June 2013



VISITOR ISSUES AND CONCERNS: FELLOWS, RESIDENTS, POSTDOCS, STUDENTS, OTHER



Observations

In reviewing the data describing the concerns or complaints brought to the Office of the Ombuds in 2012-2013, our team identified the following themes. In describing these themes, we hope to bring the University's attention to areas for focus in the coming year.

1. Ineffective communication skills (interpersonal and organizational)

Visitors report needing help addressing conflicts that arise from difficulties in communicating with colleagues, supervisors, direct reports, faculty members, and students/trainees. Difficulties ranged from communication that is harsh or demeaning to communication that is insufficient or absent. Within the diverse UCSF community, various communication styles sometime lead to parties misinterpreting each other's intentions. Without effective communication skills, perceptions of unfair treatment or inaccurate evaluation can arise. Additionally, lack of clear information from the institution about policies, directives, initiatives, or change can contribute to uncertainty and interpersonal conflict.

2. Role clarity related or unrelated to organizational change

Difficulties in role clarity present as visitors report being asked to take on more than they perceive as their scope of work, or they identify inconsistency in how responsibilities are assigned. These difficulties may be due to endemic departmental culture or to changes resulting from layoffs or reorganizations which reallocate job responsibilities.

3. Workplace climate

Visitors identify generalized lack of respect; incivility; presence of bullying behaviors that exist as part of the culture of a department, unit, or team. Visitors express reluctance to address the issues directly, citing fear of retaliation and a lack of security with their employment or learning/ trainee roles. Environments that discourage addressing conflict directly can lead to a lack of engagement or demoralized and unproductive staff. This is especially relevant given UCSF's current work with the Gallup Poll metrics measuring workplace engagement. The UCSF Principles of Community, personnel policies, and interpersonal coaching all come into play to address workplace climate.

Recommendations

A key role of the Office of the Ombuds is to serve as an information and communication resource, consultant, dispute resolution expert and catalyst for institutional change. The following recommendations are based on our experience providing services to the broad UCSF community since our incorporation under our IOA-based charter.

1. Increase learning and development offerings in the areas of:
 - a. Communication styles (clarity, tone, consistency, overall effectiveness)
 - b. Leadership/management/supervision
 - c. Managing organizational change
 - d. Conflict management in the workplace
 - e. Bullying behaviors
 - f. Developing effective teams
 - g. Diversity; cultural humility; unconscious bias

While some trainings on these topics are available, the size and diversity of UCSF campuses requires multiple portals for accessing the content. Despite the multiple providers who address these topics, easy access is not yet available or always encouraged. Additionally, tailored trainings, which may be more effective for a unit, would benefit from more support. We recommend a combination of on-line, in-person, standardized, tailored, no or low-cost trainings to allow for increased access to the skills described.

2. Consider development of campus and medical center initiatives to reward progress in the above areas. Initiatives, such as the development of the Principles of Community, can help support civility, respectful communication, equitable treatment, and effective teams.
3. Emphasize communication, conflict management, and supervision as skills that are prioritized for new managers. Provide mentors for managers on these critical supervision and team-building skills.

Conclusion/Summary

Although the Office of the Ombuds is an evolutionary development at UCSF, the focused efforts over the last 2 ½ years since formal establishment have led to increased usage, standardized services, and increased training capacity. Particularly during an era of change, the need for the services of a confidential, neutral, independent, informal problem resolution resource is especially important. Without these key principles that exist within the Office of the Ombuds, a person involved in a conflict, contemplating a grievance, experiencing harassment or discrimination, or concerned about another issue within the institution might not choose to raise the concern in a timely or appropriate way to address the concern. Consequently, he or she may believe there are fewer options and choose to file a grievance, complaint, or take legal action; may not raise a concern directly, but suffer “silently;” or possibly leave the institution. Our services are accessed by all members of the UCSF community, from leadership to faculty, staff, students, and trainees. As a “resource of first resort” we are positioned to help visitors explore their options and address problems at the most local level. Our intention is to increase the culture of conflict competence across UCSF and provide a productive, effective way for people to focus on their research, teaching, learning, and working. The support for the Office of the Ombuds represents support for all members of the UCSF community, and we are pleased to promote an environment of fairness, equity, and respect.

Glossary

Control Points

EVCP	Executive Vice Chancellor and Provost
FAS	Financial and Administrative Services
MED CTR	Medical Center
SOD	School of Dentistry
SOM	School of Medicine
SON	School of Nursing
SOP	School of Pharmacy

Locations

LHts	Laurel Heights
MCB	Mission Center Building
MtZ	Mount Zion
SFGH	San Francisco General Hospital

Appendices

UCSF Office of the Ombuds Charter

IOA Code of Ethics

IOA Standards of Practice

IOA Uniform Reporting Categories

UCSF Office of the Ombuds Intake Form

Campus Organizational Chart

University of California, San Francisco - Office of the Ombuds Charter

I. Introduction

The Office of the Ombuds at the University of California, San Francisco was established in 2011 to provide confidential, neutral, informal, and independent dispute resolution and mediation services to members of the UCSF community, predicated on the principles of fairness, equity, and respect. The structure and practice of the office is built on independence, impartiality and confidentiality. In the spirit of these important functions, this Charter Agreement defines the privileges and responsibilities of the Office of the Ombuds.

II. Purpose & Scope of Services

The Office of the Ombuds provides confidential, impartial, independent and informal dispute resolution and mediation services. The office is available to all members of the UCSF community, including faculty, staff, students, post-doctoral fellows and other trainees who seek assistance with matters brought to the attention of the Ombuds. Participation for any party is on a voluntary basis.

The Office of the Ombuds receives complaints, concerns or inquiries about alleged acts, omissions, improprieties, and/or broader systemic problems within the Office's defined jurisdiction. These are received in confidence as defined in section IV. B of this document. In response, the Office of the Ombuds will listen, review matters received, make informal inquiries, offer options, make referrals, and facilitate resolutions independently and impartially. In addition, the Office of the Ombuds shall serve as an information and communication resource, consultant, dispute resolution expert and catalyst for institutional change.

The Office of the Ombuds supplements but does not replace or substitute for formal, investigative or appeals processes made available by the University. Use of the services of the Ombuds office does not delay filing requirements associated with the University's complaint and/or grievance procedures.

The Office of the Ombuds functions to assist parties in reaching mutually acceptable agreements in order to find fair and equitable resolutions to concerns that arise at the university. Use of the office is voluntary. The Office of the Ombuds also reports general trends of issues and provides feedback throughout the organization, and recommends systems change when appropriate, without disclosing confidential communications.

III. Reporting

The Office of the Ombuds functions independently with respect to case handling and issue management. For administrative and budgetary purposes only, it reports to the Vice Provost of Academic Affairs. To fulfill its functions, the Office of the Ombuds shall have a specific allocated budget, adequate space, and sufficient resources to meet operating needs and pursue continuing professional development.

IV. Standards & Ethics

The Office of the Ombuds staff shall adhere to The International Ombuds Association (IOA) Code of Ethics and Standards of Practice which may be found on its website at ombuds.ucsf.edu. This Charter adopts and incorporates by reference the IOA Standards of Practice, IOA Code of Ethics, and IOA Best Practices. These tenets require the Office of the Ombuds to function independently of the organization, to be confidential and neutral, and to limit the scope of its services to informal means of dispute resolution. The IOA Standards, Code, and Best Practices delineate minimum standards, and the Office of the Ombuds shall always strive to operate to “best practices”¹ and to serve the best interests of all concerned. The Office of the Ombuds also adheres to best practices within the University of California system, as delineated in the “Declaration of Best Practices for University of California Ombuds Offices”.

A. Independence

Independence is essential to the effective functioning of the Office of the Ombuds. The Office of the Ombuds shall be, and shall appear to be, free from interference in the legitimate performance of its duties. This independence is achieved primarily through reporting structure, neutrality and organizational recognition and respect for the independent role of the Office of the Ombuds. To ensure objectivity, the Office of the Ombuds shall function independently from administrative authorities. This includes not disclosing confidential information about matters discussed in the Office of the Ombuds with anyone in the organization, including the person to whom the Office of the Ombuds reports, except as clearly delineated in Section IV. B. In addition, the Office of the Ombuds will have the authority to manage the budget and operations of the office.

¹ “Best practices” are defined as operating in accordance with the guidelines and definitions contained within this document, IOA Standards of Practice, IOA Code of Ethics, IOA Best Practices: A Supplement to IOA’s Standards of Practice – Version 2, IOA Guidance for Best Practices and Commentary on the American Bar Association Standards for the Establishment and Operation of Ombuds Offices, and Declaration of Best Practices for University of California Ombuds Offices.

B. Confidentiality

The Office of the Ombuds shall not disclose any information provided in confidence, unless in the course of discussions with an inquirer, the Ombuds asks for and receives permission to make a disclosure or unless the Ombuds determines that there is an imminent risk of serious harm. The Office of the Ombuds asserts that there is a privilege of confidentiality with respect to the identity of visitors and their issues, and therefore cannot be required to disclose confidential communications.² The Office of the Ombuds shall not confirm communicating with any party or parties. The Office of the Ombuds shall neither willingly participate as witnesses with respect to any confidential communication, nor participate in any formal process inside or outside the University

C. Impartiality

The Office of the Ombuds shall not take sides in any conflict, dispute or issue. The Office of the Ombuds shall consider the interests and concerns of all parties involved in a situation impartially with the aim of facilitating communication and assisting the parties in reaching mutually acceptable agreements that are fair and equitable, and consistent with the policies of the University.

D. Informality

The Office of the Ombuds shall be a resource for informal dispute resolution and mediation services. The Office of the Ombuds shall not investigate, arbitrate, adjudicate or in any other way participate in any internal or external formal process or action. The Office of the Ombuds does not keep records for the University, and shall not create or maintain documents or records for the University about individual cases. Use of the Office of the Ombuds will be voluntary and not a required step in any grievance, formal complaint process or University policy.

² As stated in the Declaration of Best Practices of University of California Ombuds Offices, “In accordance with the California Mediation Act (California Evidence Code Section 1115-1128), UC Ombuds are neutrals who meet the definition of mediators and whose communications with visitors are for the purpose of initiating, considering, or reconvening a mediation or retaining the ombuds, and thus assert the mediator’s privilege for all communications with visitors. Additionally, UC Ombuds assert that all communications with their offices are made with the expectation of confidentiality and are therefore entitled to a protection under the California State Constitution. By providing visitors with a confidential reporting mechanism, Ombuds Offices also assist the University in meeting the important public objectives set forth in the Federal Sentencing Guidelines and the Sarbanes-Oxley Act.” The UCSF Office of the Ombuds will assert any and all legal privileges related to confidential communications made with the office.

V. Authority and Limits of the Office of the Ombuds

A. Authority of the Office of the Ombuds

The Office of the Ombuds shall be entitled to inquire about any issue concerning the University which affects any member of the University community, and shall respect the confidentiality of that information. The Office of the Ombuds may informally address issues which fall under federal, state, local labor and employment laws, rules and regulations. The Office of the Ombuds shall have appropriate access to records and personnel at UCSF for the purpose of facilitating informal resolutions. The Office of the Ombuds has the authority to break confidence if the Ombuds believes there is an imminent risk of serious harm.

The Office of the Ombuds may, without having received a specific complaint from a member of the University community, act on its own discretion, and initiate inquiries concerning matters the Office of the Ombuds believe warrant such treatment. The Office of the Ombuds may decline to inquire into a matter or may withdraw from a case if the Ombuds believes involvement is inappropriate for any reason, including matters not brought in good faith, or which appear to be misuses of the Ombuds function. In situations such as this, the Ombuds will directly communicate their intent to the visitor and refer them to other options which may be available.

The Office of the Ombuds has the authority to discuss a range of options available to the visitor, including both informal and formal processes. However, the Office of the Ombuds will have no actual authority to impose sanctions, remedies or to enforce or change any policy, rule or procedure. The Office of the Ombuds may require legal or other professional advice, from time to time, in order to fulfill their required functions. The Office of the Ombuds may be provided separate legal counsel in the event it is asked for documents or testimony related to any litigation or other formal process, or when a conflict of interest arises between the Office of the Ombuds and the administration or the University.

B. Limitations on the Authority of the Office of the Ombuds

1. Receiving Notice for the University

Communication to the Office of the Ombuds shall not constitute notice to the University. The Office of the Ombuds shall publicize its non-notice role to the University. This includes allegations that may be perceived to be violations of laws, regulations or policies, such as sexual harassment, issues covered by the Whistleblower policy, or incidents subject to reporting under the Clery Act. Because the Ombuds does not function as part of the administration of the University nor as a “Campus security authority” as defined in the Clery Act, even if the Ombuds becomes aware of such allegations, the Ombuds is not required to report it to the University or to law enforcement.

If a user of the Office of the Ombuds would like to put the University on notice regarding a specific situation, or wishes for information to be provided to the University, the Ombuds will provide that person with information so that the person may put the University on notice.

2. Collective Bargaining Agreements

The Office of the Ombuds shall not address any issues arising under any collective bargaining agreement (“CBA”), unless allowed by specific language in the CBA. This means that while the Office of the Ombuds may provide services to exclusively represented (i.e. unionized) employees, those services may not include addressing issues that are covered in the CBA, including, but not limited to, issues such disciplinary or non-disciplinary performance management, dismissal or any other alleged violation of a CBA or University policy. In those cases, the Ombuds shall refer the employee to his or her union representative. The Office of the Ombuds may work with exclusively represented (i.e. unionized) employees regarding all other issues not covered by the contracts, such as communication issues, facilitating discussions, and improving teamwork with various other employees.

3. Formal Processes and Investigations

The Office of the Ombuds shall not conduct formal investigations of any kind. The Office of the Ombuds staff shall not willingly participate in formal dispute processes or outside agency complaints or lawsuits, either on behalf of a user of the Office of the Ombuds or on behalf of the University. The Office of the Ombuds provides an alternative to formal processes for dispute resolution. All use of Ombuds services shall be voluntary and shall not impact filing requirements within the University or outside agencies. Because confidentiality, neutrality and informality are critically important to the Office of the Ombuds, all communications with the office are made with the understanding that they are confidential, off-the-record, and that no one from the office will be called to testify as a witness in any formal or legal proceeding to reveal confidential communications.

4. Record Keeping

The Office of the Ombuds does not keep records for the University, and shall not create or maintain documents or records for the University about individual cases. Notes, if any, taken during the course of working on a case are routinely destroyed at regular intervals and at the conclusion of a matter. All materials related to a case will be maintained in a secure location and manner, and will be destroyed once the case is concluded. The Ombuds may maintain non-confidential statistical data to assist the Ombuds in reporting trends and giving feedback to the University community.

5. Advocacy & Psychological Counseling

The Office of the Ombuds shall not act as an advocate for any party in a dispute, nor shall they represent management or visitors to their office. In addition, the Office of the Ombuds does not provide legal or psychological assistance, but can provide referral to the appropriate resources if necessary.

6. Adjudication of Issues

The Office of the Ombuds shall not have authority to adjudicate, impose remedies or sanctions, or to enforce or change policies or rules.

7. Conflict of Interest

Individual Ombuds shall avoid involvement in cases where there may be a conflict of interest. A conflict of interest occurs when the Ombuds' private interests, real or perceived, supersede or compete with his or her dedication to the impartial and independent nature of the role of the Ombuds. When a real or perceived conflict exists, the Ombuds should take all steps necessary to disclose and/or avoid the conflict.

VI. Retaliation for Using the Office of the Ombuds

All members of the constituencies served by the Office of the Ombuds shall have the right to consult the Office of the Ombuds without fear of retaliation or reprisal.

VII. Office of the Ombuds Structure

The Office of the Ombuds also includes two units--Mediation Services and Work~Life Services. Mediation Services offers workplace mediation, group facilitations, conflict coaching, and workshops to UCSF community members. Work~Life Services offers assistance and expertise in topics and initiatives aimed at interpersonal and organizational communications, individual and team development, and creating and maintaining a supportive work environment. It accomplishes this through workshops, facilitations, and committee participation. All involvement and functions operate within the parameters and guidelines set forth in this charter and IOA principles. The Office of the Ombuds reports to the Office of the Vice Provost, Academic Affairs for administrative and budgetary purposes only.

References:

IOA Standards of Practice (<http://www.ombudsassociation.org/about-us/mission-vision-and-values/iaa-best-practices-standards-practice>) *English, French, and Spanish versions.*

IOA Code of Ethics (<http://www.ombudsassociation.org/about-us/code-ethics>) *English, French, and Spanish versions.*

IOA Best Practices: A Supplement to IOA's Standards of Practice – Version 2, March 31, 2008
(http://www.ombudsassociation.org/sites/default/files/IOA_Best_Practices_Version3_101309_0.pdf
)

IOA Guidance for Best Practices and Commentary on the American Bar Association Standards for the Establishment and Operation of Ombuds Offices, revised February 2004; March 14, 2006
([GuidanceOnABAStandards_final.pdf](#))

Declaration of Best Practices for University of California Ombuds Offices [Ombuds DeclarationBestPractices - 11-16-06.docx](#)



INTERNATIONAL
OMBUDSMAN
ASSOCIATION

IOA CODE OF ETHICS

PREAMBLE

The IOA is dedicated to excellence in the practice of Ombudsman work. The IOA Code of Ethics provides a common set of professional ethical principles to which members adhere in their organizational Ombudsman practice.

Based on the traditions and values of Ombudsman practice, the Code of Ethics reflects a commitment to promote ethical conduct in the performance of the Ombudsman role and to maintain the integrity of the Ombudsman profession.

The Ombudsman shall be truthful and act with integrity, shall foster respect for all members of the organization he or she serves, and shall promote procedural fairness in the content and administration of those organizations' practices, processes, and policies.

ETHICAL PRINCIPLES

INDEPENDENCE

The Ombudsman is independent in structure, function, and appearance to the highest degree possible within the organization.

NEUTRALITY AND IMPARTIALITY

The Ombudsman, as a designated neutral, remains unaligned and impartial. The Ombudsman does not engage in any situation which could create a conflict of interest.

CONFIDENTIALITY

The Ombudsman holds all communications with those seeking assistance in strict confidence, and does not disclose confidential communications unless given permission to do so. The only exception to this privilege of confidentiality is where there appears to be imminent risk of serious harm.

INFORMALITY

The Ombudsman, as an informal resource, does not participate in any formal adjudicative or administrative procedure related to concerns brought to his/her attention.



INTERNATIONAL
OMBUDSMAN
ASSOCIATION

IOA STANDARDS OF PRACTICE

PREAMBLE

The IOA Standards of Practice are based upon and derived from the ethical principles stated in the IOA Code of Ethics.

Each Ombudsman office should have an organizational Charter or Terms of Reference, approved by senior management, articulating the principles of the Ombudsman function in that organization and their consistency with the IOA Standards of Practice.

STANDARDS OF PRACTICE

INDEPENDENCE

- 1.1 The Ombudsman Office and the Ombudsman are independent from other organizational entities.
- 1.2 The Ombudsman holds no other position within the organization which might compromise independence.
- 1.3 The Ombudsman exercises sole discretion over whether or how to act regarding an individual's concern, a trend or concerns of multiple individuals over time. The Ombudsman may also initiate action on a concern identified through the Ombudsman's direct observation.
- 1.4 The Ombudsman has access to all information and all individuals in the organization, as permitted by law.
- 1.5 The Ombudsman has authority to select Ombudsman Office staff and manage Ombudsman Office budget and operations.

NEUTRALITY AND IMPARTIALITY

- 2.1 The Ombudsman is neutral, impartial, and unaligned.
- 2.2 The Ombudsman strives for impartiality, fairness and objectivity in the treatment of people and the consideration of issues. The Ombudsman advocates for fair and equitably administered processes and does not advocate on behalf of any individual within the organization.
- 2.3 The Ombudsman is a designated neutral reporting to the highest possible level of the organization and operating independent of ordinary line and staff structures. The Ombudsman should not report to nor be structurally affiliated with any compliance function of the organization.
- 2.4 The Ombudsman serves in no additional role within the organization which would compromise the Ombudsman's neutrality. The Ombudsman should not be aligned with any formal or informal associations within the organization in a way that might create actual or perceived conflicts of interest for the Ombudsman. The Ombudsman should have no personal interest or stake in, and incur no gain or loss from, the outcome of an issue.
- 2.5 The Ombudsman has a responsibility to consider the legitimate concerns and interests of all individuals affected by the matter under consideration.
- 2.6 The Ombudsman helps develop a range of responsible options to resolve problems and facilitate discussion to identify the best options.

CONFIDENTIALITY

- 3.1 The Ombudsman holds all communications with those seeking assistance in strict confidence and takes all reasonable steps to safeguard confidentiality, including the following: The Ombudsman does not reveal, and must not be required to reveal, the identity of any individual contacting the Ombudsman Office, nor does the Ombudsman reveal information provided in confidence that could lead to the identification of any individual contacting the Ombudsman Office, without that individual's express permission, given in the course of informal discussions with the Ombudsman; the Ombudsman takes specific action related to an individual's issue only with the individual's express permission and only to the extent permitted, and even then at the sole discretion of the Ombudsman, unless such action can be taken in a way that safeguards the identity of the individual contacting the Ombudsman Office. The only exception to this privilege of confidentiality is where there appears to be imminent risk of serious harm, and where there is no other reasonable option. Whether this risk exists is a determination to be made by the Ombudsman.
- 3.2 Communications between the Ombudsman and others (made while the Ombudsman is serving in that capacity) are considered privileged. The privilege belongs to the Ombudsman and the Ombudsman Office, rather than to any party to an issue. Others cannot waive this privilege.
- 3.3 The Ombudsman does not testify in any formal process inside the organization and resists testifying in any formal process outside of the organization regarding a visitor's contact with the Ombudsman or confidential information communicated to the Ombudsman, even if given permission or requested to do so. The Ombudsman may, however, provide general, non-confidential information about the Ombudsman Office or the Ombudsman profession.
- 3.4 If the Ombudsman pursues an issue systemically (e.g., provides feedback on trends, issues, policies and practices) the Ombudsman does so in a way that safeguards the identity of individuals.
- 3.5 The Ombudsman keeps no records containing identifying information on behalf of the organization.
- 3.6 The Ombudsman maintains information (e.g., notes, phone messages, appointment calendars) in a secure location and manner, protected from inspection by others (including management), and has a consistent and standard practice for the destruction of such information.
- 3.7 The Ombudsman prepares any data and/or reports in a manner that protects confidentiality.
- 3.8 Communications made to the ombudsman are not notice to the organization. The ombudsman neither acts as agent for, nor accepts notice on behalf of, the organization and shall not serve in a position or role that is designated by the organization as a place to receive notice on behalf of the organization. However, the ombudsman may refer individuals to the appropriate place where formal notice can be made.

INFORMALITY AND OTHER STANDARDS

- 4.1 The Ombudsman functions on an informal basis by such means as: listening, providing and receiving information, identifying and reframing issues, developing a range of responsible options, and – with permission and at Ombudsman discretion – engaging in informal third-party intervention. When possible, the Ombudsman helps people develop new ways to solve problems themselves.
- 4.2 The Ombudsman as an informal and off-the-record resource pursues resolution of concerns and looks into procedural irregularities and/or broader systemic problems when appropriate.
- 4.3 The Ombudsman does not make binding decisions, mandate policies, or formally adjudicate issues for the organization.
- 4.4 The Ombudsman supplements, but does not replace, any formal channels. Use of the Ombudsman Office is voluntary, and is not a required step in any grievance process or organizational policy.
- 4.5 The Ombudsman does not participate in any formal investigative or adjudicative procedures. Formal investigations should be conducted by others. When a formal investigation is requested, the Ombudsman refers individuals to the appropriate offices or individual.
- 4.6 The Ombudsman identifies trends, issues and concerns about policies and procedures, including potential future issues and concerns, without breaching confidentiality or anonymity, and provides recommendations for responsibly addressing them.
- 4.7 The Ombudsman acts in accordance with the IOA Code of Ethics and Standards of Practice, keeps professionally current by pursuing continuing education, and provides opportunities for staff to pursue professional training.
- 4.8 The Ombudsman endeavors to be worthy of the trust placed in the Ombudsman Office.

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)
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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)
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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)
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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)
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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)
.....
.....

INTAKE FORM

Index Name or Index ID #:

Case ID #:

Carry Forward

Intake Date: _____

Provider(s)

KB MB RD EG

First Point of Contact

Phone In-Person Email Referred by? _____

Resource(s) Provided (number order of service)

Intake/Consult Contact Others Referral Coaching 1:1 Mediation Grp Mediation Outreach Leadership

Training/Workshop Group Facilitation Training/Group Title: _____ Date: _____

INITIATOR

Name: Ph#

Title: Dept:

Status

Faculty Non-Faculty Academic Mgr/Spvr Staff Resident Fellow Student Post-Doc Other:

Campus Site

Parnassus MCB MtZ Mission Bay LHts SFGH Geary Montgomery Exec Park VAMC

Global Health UCOP Fresno Beal China Basin Other If Other, Note: _____

Control Point

SON SOD SOM SOP EVCP UDAR Div & Outreach Strat Commun/UR FAS Med Center

Union?

CUE UPTe AFSCME C.N.A. FUPOA AFT Hx

MEDIATION DATA

Mediator: Co-Mediator: # Sessions

OUTCOME Agreement Reached No Agreement Not completed

Contact Others Information Contact

Name: Title:

Ph# Email

Dept:

Status

Faculty Post-Doc Mgr/Spvr Student Staff Fellow Resident Other

Control Point

SON Dvlpmnt/Alum Rel SOD Div & Outreach SOM Strat Commun/UR SOP Fin & Admn EVCP Med Center

Contact Others Information Contact

Name: Title:

Ph# Email

Dept:

Status

Faculty Post-Doc Mgr/Spvr Student Staff Fellow Resident Other

Control Point

SON Dvlpmnt/Alum Rel SOD Div & Outreach SOM Strat Commun/UR SOP Fin & Admn EVCP Med Center

CLOSING SUMMARY (* for group cases, complete this information on the index intake only)

* # Served

Individ. Sessions

Case Status

Withdrawn Cancelled Completed Carry Forward? (year end only)

Contact Others

* # Group Sessions

Info Contacts

Closure Date _____

Associated Risks

1 5
 2 6
 3 7
 4

COMMENTS:

LEGEND: Areas of Risk 1-7

Case ID #:

1. Loss of department productivity due to pervasive conflict
2. Unwarranted staff attrition/transfer
3. Negative publicity
4. Significant violations of policy/Code of Conduct
5. Potential for internal/external grievances
6. Litigation potential
7. High risk safety issue

OMBUDSRY REPORTING

Refer to [IOA Uniform Reporting Categories Sheet](#) for this section. For each relevant category, note the primary (1), secondary (2), and tertiary (3) rating in the box to the right. Choose all that apply for each sub-category.

1. Compensation & Benefits

Questions, concerns, issues or inquiries about the equity, appropriateness and competitiveness of employee compensation, benefits and other benefit programs.

- 1.a. 1.b. 1.c. 1.d. 1.e.

2. Evaluative Relationships

Questions, concerns, issues or inquiries arising between people in evaluative relationships (i.e. supervisor-employee, faculty-student.)

- 2.a. 2.b. 2.c. 2.d. 2.e. 2.f. 2.g.
 2.h. 2.i. 2.j. 2.k. 2.l. 2.m. 2.n.
 2.o. 2.p. 2.q. 2.r. 2.s.

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. 3.b. 3.c. 3.d. 3.e.
 3.f. 3.g. 3.h. 3.i. 3.j.

4. Career Progression & 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. 4.b. 4.c. 4.d. 4.e. 4.f.
 4.g. 4.h. 4.i. 4.j. 4.k. 4.l.

5. Legal, Regulatory, Financial & 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. 5.b. 5.c. 5.d. 5.e.
 5.f. 5.g. 5.h. 5.i. 5.j.

6. Safety, Health, & Physical Environment

Questions, concerns, issues or inquiries about Safety, Health and Infrastructure-related issues.

- 6.a. 6.b. 6.c. 6.d. 6.e.
 6.f. 6.g. 6.h. 6.i. 6.j.

7. Services/Administrative Issues

Questions, concerns, issues or inquiries about services or administrative offices including from external parties.

- 7.a. 7.b. 7.c. 7.d. 7.e.

8. Organizational, Strategic, Mission Related

Questions, concerns, issues or inquiries that relate to the whole or some part of an organization.

- 8.a. 8.b. 8.c. 8.d. 8.e. 8.f.
 8.g. 8.h. 8.i. 8.j. 8.k.

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. 9.b. 9.c. 9.d. 9.e.

Contact Log

Case ID #:

Other Participant Information Contact

Name: Title:

Ph# Email

Dept:

Status

<input type="checkbox"/> Faculty	<input type="checkbox"/> Post-Doc	<input type="checkbox"/> SON	<input type="checkbox"/> Dvlpmnt/Alum Rel
<input type="checkbox"/> Mgr/Spvr	<input type="checkbox"/> Student	<input type="checkbox"/> SOD	<input type="checkbox"/> Div & Outreach
<input type="checkbox"/> Staff	<input type="checkbox"/> Fellow	<input type="checkbox"/> SOM	<input type="checkbox"/> Strat Commun/UR
<input type="checkbox"/> Resident	<input type="checkbox"/> Other	<input type="checkbox"/> SOP	<input type="checkbox"/> Fin & Admn
		<input type="checkbox"/> EVCP	<input type="checkbox"/> Med Center

Other Participant Information Contact

Name: Title:

Ph# Email

Dept:

Status

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Other Participant Information Contact

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Ph# Email

Dept:

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Other Participant Information Contact

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Other Participant Information Contact

Name: Title:

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Dept:

Status

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<input type="checkbox"/> Resident	<input type="checkbox"/> Other	<input type="checkbox"/> SOP	<input type="checkbox"/> Fin & Admn
		<input type="checkbox"/> EVCP	<input type="checkbox"/> Med Center

Other Participant Information Contact

Name: Title:

Ph# Email

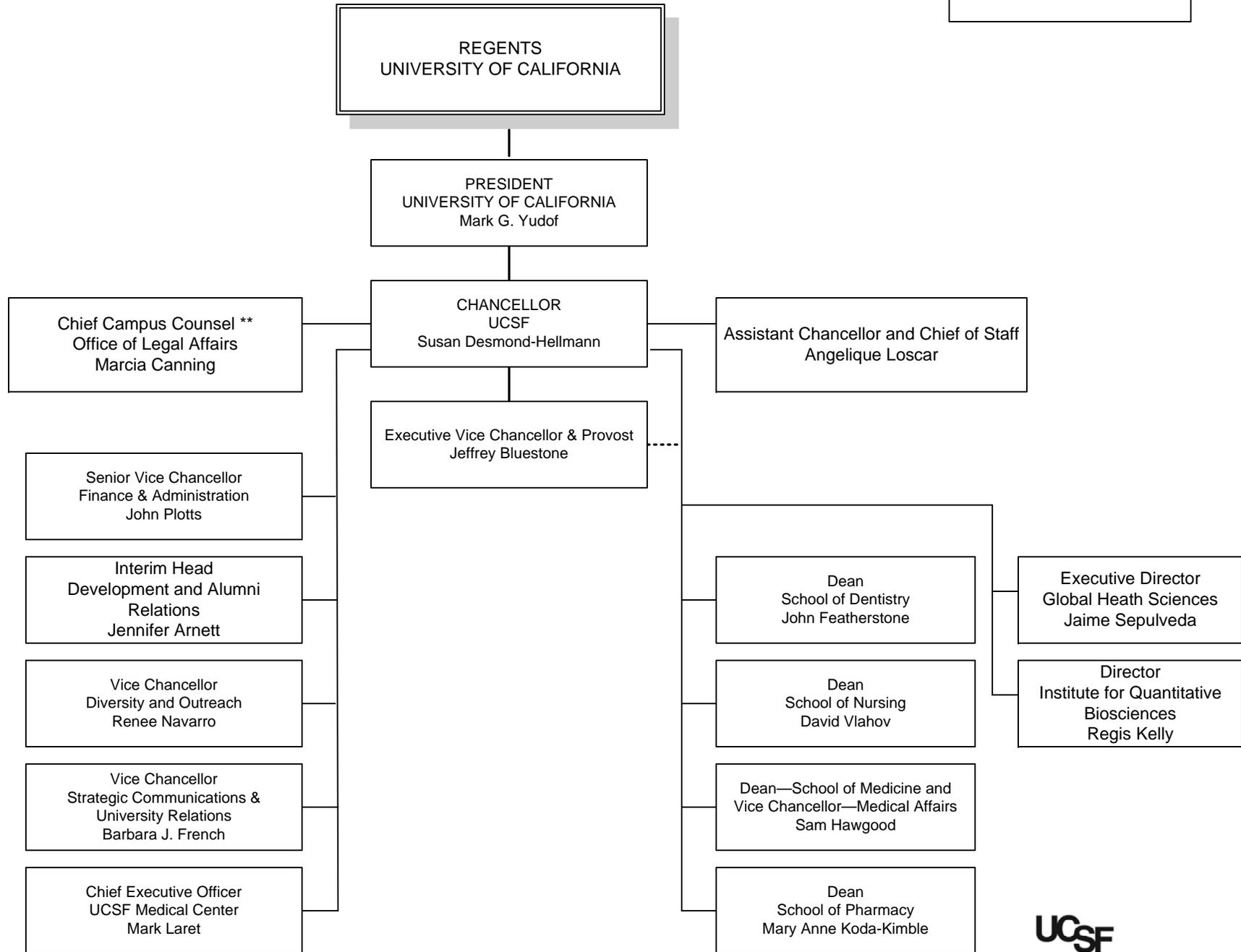
Dept:

Status

<input type="checkbox"/> Faculty	<input type="checkbox"/> Post-Doc	<input type="checkbox"/> SON	<input type="checkbox"/> Dvlpmnt/Alum Rel
<input type="checkbox"/> Mgr/Spvr	<input type="checkbox"/> Student	<input type="checkbox"/> SOD	<input type="checkbox"/> Div & Outreach
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		<input type="checkbox"/> EVCP	<input type="checkbox"/> Med Center

**UNIVERSITY OF CALIFORNIA, SAN FRANCISCO
ORGANIZATIONAL CHART**

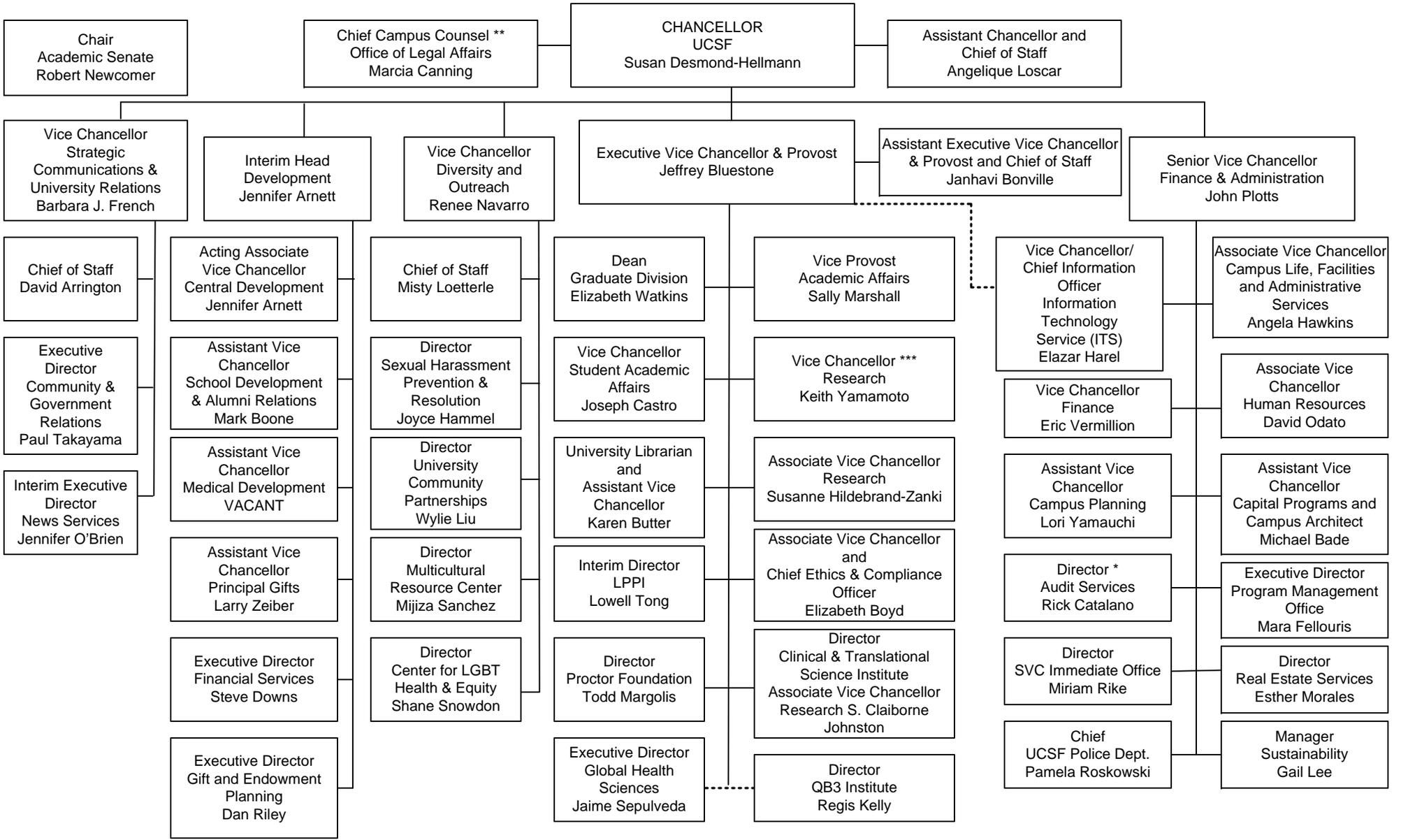
June 2012



** Also reports to the General Counsel/Vice President—Legal Affairs, Office of the President

UNIVERSITY OF CALIFORNIA, SAN FRANCISCO
CENTRAL CAMPUS ADMINISTRATION

June 2012



* Also reports to the University's SVP—Compliance & Audit and has direct access to the Chancellor and The Regents
 ** Also reports to the General Counsel/Vice President—Legal Affairs, Office of the President and has direct access to the Chancellor
 *** Also reports to the Dean—School of Medicine
 † These units are compliance offices with direct access to the Chancellor as needed