2013-2014 Annual Report

Office of the Ombuds

University of California, Santa Barbara
A Message from the Campus Ombuds

This year has been a very difficult one for the UCSB community. During the second half of this fiscal year a series of harrowing events occurred that have left a profound impact not only on UCSB, but also the surrounding community of Isla Vista. The Office of the Ombuds provided assistance in many ways, and was able to have a positive influence, especially in the aftermath of the tragic mass shooting in May 2014. Through the confidential consultation services the Ombuds offers, we are able to continue to work to mitigate the harms that follow such a terrible incident.

While facing these challenges this year, we have continued to pursue our mission: to offer a wide array of confidential consultation services for conflict prevention and management, decision-making, policy questions, university processes, work relationships and career coaching that serve all members of the UC Santa Barbara community. We assist the campus community with the informal resolution of any University-related issues by offering a safe and confidential place to discuss these concerns, and by offering strategies and options for resolution. We also offer education and prevention services to assist in furthering campus climate improvement. We have again received support and feedback from an active Ombuds Advisory Committee as well as the Executive Vice Chancellor and Interim Executive Vice Chancellor.

We actively seek to find new ways to provide effective and relevant services to the campus, and welcome all suggestions of ways that we can be helpful to the community.

Respectfully submitted,

Kirsi Aulin, MS, MFT, CO-OPTM
Campus Ombuds
University of California, Santa Barbara
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Office of the Ombuds Overview

Mission Statement

The Office of the Ombuds (OO) is a confidential, impartial, informal, and independent resource for conflict prevention, management, and resolution that serves all members of the UCSB community, including faculty, staff, and students. The Ombuds assists those who seek guidance with the resolution of academic, administrative or interpersonal issues and disputes which are not being adequately addressed through other mechanisms. It is a safe, confidential, and impartial place to express concerns.

The Ombuds advocates for fairness and works to ensure that all members of the University community receive equitable treatment. The Ombuds serves the campus community by helping to resolve complaints, by providing information and referrals, and by making recommendations for constructive change when University policies or procedures generate conflicts or concerns. The Ombuds adheres to the highest standards of practice for the field to ensure excellent service, compliance with ethical standards and mitigation of legal risk. The Ombuds is also committed to a campus-wide prevention and education effort.

Standards of Practice

The Ombuds seeks to accomplish its mission by applying four core tenets: independence, impartiality, informality, and confidentiality. These are standards of practice established by the International Ombudsman Association (IOA).

Independence: The Ombuds is chartered by UCSB to be an independent entity. To ensure objectivity, it operates independently of usual administrative authorities and is not an office of notice to the University. The Ombuds reports to the Executive Vice Chancellor for administrative and budgetary purposes only, but not regarding the substance of matters addressed by the Ombuds.

Impartiality: The Ombuds is impartial. The staff will not take sides in any conflict, dispute, or issue, but will consider the interests and concerns of all parties involved with the aim of achieving a fair and equitable outcome. If the Ombuds believes a university policy or procedure is unfair, the Ombuds will advocate for fairness.

Informality: The Ombuds is informal. The staff offers a variety of consultation services such as mediation or strategic assessment of a situation which work informally to address conflict. The Ombuds does not arbitrate, adjudicate, or participate in any internal or external formal process.
Confidentiality: The Ombuds will maintain strict confidentiality to the extent permitted by the law; the only exception to this confidentiality is when the Ombuds determines that an imminent threat of serious harm exists.

Staffing and Administration

Physical Space

The Ombuds has been located in 1205-K Girvetz Hall since May 2005.

During this Fiscal Year, we began the process of making safety improvements to our physical space. We received a safety assessment report from the Kroll Associates which was commissioned by the Office of the President, and began drawing up plans and securing funding to complete the project. We received funding and administrative assistance from the Executive Vice Chancellor’s Office to engage in this project. The construction and other physical changes will be completed in Fiscal Year 2014-15. We also received an ergonomic assessment of the furniture in our offices and consulting spaces, and with supplementary funding from the Executive Vice Chancellor’s Office, we were able to complete the ergonomic overhaul of our working space. We have continued to use the “white noise” system to deal with acoustic issues related to confidentiality. It provides the necessary privacy enhancement that allows us to maintain our standard of confidentiality in a limited amount of space.

Website and Online Presence

We have continued to maintain a presence on Facebook - the UCSB Office of the Ombuds informational page. We have kept the basic design and structure of our website including the emergency contacts link on the home page. We have received feedback from the campus community that the website is very useful and easy to navigate.

Professional Affiliation

All four of our staff belong to the International Ombudsman Association (IOA). This organization provides professional affiliation, training, and certification, as well as ongoing problem-solving with regards to current challenges in our work. We operate consistent with the IOA standards of practice, including the tenets of confidentiality, informality, independence, and impartiality. Our credibility as an office and as members of the profession is tied directly to adhering to these tenets.

Kirsi continues to maintain her status as a Certified Organizational Ombudsman Practitioner (CO-OP™) through the International Ombudsman Association. Caroline completed a year of practice as a prerequisite to becoming a Certified Organizational Ombudsman Practitioner.
Staffing

Kirsi Aulin continued as Campus Ombuds, providing leadership and coordination of services as well as running a recruitment for the new Assistant Ombuds. She was the primary ombuds for 34% of our cases. She also participated with Summer, Ramey and Caroline in providing workshops, retreats and presentations to the campus. This year she has continued to implement a number of initiatives, including an Education and Prevention Program for the Office of the Ombuds and continuing work on the Steering Committee of the Consortium on Abrasive Conduct in Higher Education (CACHE), becoming co-president of the steering committee in June 2014.

Caroline Adams continues to serve as Associate Ombuds, and has served as primary ombuds for 39% of cases. Caroline has spearheaded the development of the Office of the Ombuds’ Education and Prevention Program. She has designed several new workshops as well as department retreats, tailored to address specific groups and their topical needs. Caroline also served as a reviewer for the Journal of the International Ombudsman Association, and on the UC Ombuds task force on the Violence Against Women Act, and she joined the nascent American Bar Association Alternative Dispute Resolution Ombuds Committee, as one of the drafters of its Mission, Vision and Goals.

Michael O’Connell served as Faculty Ombuds beginning in October 2013, dealing primarily with cases involving faculty and graduate students, and was primary ombuds for 10% of our cases this year.

Summer Turner, Assistant Ombuds, left the Office of the Ombuds in September 2013, taking a position as Assistant Registrar for elearning at Humboldt State University.

Ramey Mitchell was selected to join the Office of the Ombuds as Assistant Ombuds in November 2013 after a competitive search, and has begun the process of training to work as the ombuds primarily handling undergraduate student cases, for a total of 14% of our cases this year. Ramey earned her B.S. in Business Administration at Southern Nazarene University and M.S. from Oklahoma State University in International Human Development, Society, and Education. Ramey’s career experience is in financial management, and as a Case Management Specialist for Mucosgee (Creek) Nation in Oklahoma.

Both Summer and Ramey fielded phone calls, performed case intakes, assisted us in workshops and presentations, and served in an administrative support role (as outlined below).
Administration

Kirsi provided administrative oversight, and Summer Turner and Ramey Mitchell provided administrative support. All continued gaining experience and knowledge of campus systems. Summer and Ramey handled an administrative workload that included the following:

- Provided travel arrangements for Ombuds staff as needed
- Updated the database
- Prepared statistical reports as needed
- Coordinated arrangements for the Ombuds Advisory Committee and prepared meeting notes
- Completed financial transactions and maintained appropriate departmental documentation, such as the General Ledger

Summer and Kirsi provided back-up administrative services for the Office of Equal Opportunity, Sexual Harassment and Title IV Compliance.

Professional Development and Service

Continuing education and related professional activities are essential in order for us to be able to provide the highest level of quality in our service to the campus community. It is critical that we are informed of the changing legal and academic landscape, and standards of practice, for the sake of the integrity of the consultation provided to the university community.

We have continued to attend all relevant briefings and trainings offered at UCSB regarding the campus (e.g. campus systems, processes, updates and concerns). This year, in order to mitigate the deficit of professional development resulting from prior budget cuts, the Office of the Ombuds began to renew its commitment to staff development, seeking educational opportunities for staff. Much still needs to be done to provide ongoing education at a professional level. We participated in relevant webinars and other remote training opportunities as practicable, and all Ombuds staff attended the International Ombudsman Association Annual Conference. Specific professional Ombuds trainings/meetings attended were as follows:

**Kirsi Aulin**
- Coaching Abrasive Leaders
- Crucial Conversations Trainer Certification Training
- 1st and 2nd Annual Colloquium of the Consortium on Abrasive Conduct in Higher Education
- IOA Annual Conference Cottage Hospital Grand Rounds

**Caroline Adams**
- Crucial Conversations Trainer Certification
- Southern California Mediators Association spring meeting
- IOA Annual Conference
- Southern California Ombuds Meeting
Ramey Mitchell
- IOA Fundamentals course
- IOA Annual Conference
- Southern California Ombuds Meeting
- Southern California Mediators Association spring meeting

Michael O’Connell
- IOA Fundamentals course
- IOA Annual Conference

Service:

Kirsi Aulin
- Financial Aid Advisory Committee
- Threat Management Team
- New Student Convocation - Platform Party
- Steering Committee for the 2nd Annual Colloquium hosted by the Provost of the University of Denver in June 2014

Caroline Adams
- Journal of the International Ombudsman Association reviewer
- Santa Barbara Lawyer Magazine contributing author
- Co-instructed “Ombuds 101” at UCSB Professional Women’s Conference
- American Bar Association Dispute Resolution Section, Ombuds Committee, collaborating author of Mission, Vision and Goals.
- Santa Barbara County Bar Association member

Ramey Mitchell
- Co-instructed “Ombuds 101” at UCSB Professional Women’s Conference

Ombuds Advisory Committee

The Ombuds Advisory Committee met two times in the course of the academic year (our usual Spring Quarter Committee Meeting was cancelled due to the tragic events in Isla Vista in May). The Executive Vice Chancellor appoints the members of this campus committee. Committee members’ terms of service are established with the possibility of individuals serving two consecutive terms and are staggered to ensure continuity. The undergraduate student representative each year is the Goodspeed intern, an internship coordinated by the Vice Chancellor for Student Affairs.

The committee has two main functions:
• To act as a sounding board and advisor to the Ombuds in regard to such matters as the Annual Report and its distribution, promotion and marketing the Ombuds, hiring staff, professional development plans, and additional duties;
• To receive and respond to comments or complaints about the Ombuds and to convene the committee should such concerns arise.

The appointed members for 2013-2014:
• Mary Lum, staff representative
• Katya Armistead, staff representative
• Melissa Barthelemy, graduate student representative
• Mike Jochim, faculty representative
• Heejung Kim, faculty representative
• Natalie Gonzales, undergraduate representative

Ex-officio non-voting members during 2013-2014:
• Caroline Adams, Associate Ombuds
• Kirsi Aulin, Campus Ombuds
• Michael O’Connell, Faculty Ombuds
• Summer Turner & Ramey Mitchell, Assistant Ombuds
Demographics

When a visitor comes to the Ombuds with a concern, we assign a case number for that concern. In the course of working with the initial visitor regarding this concern, we often work with multiple other people and departments. Our case numbering system is representative of the number of concerns we address each month and year, therefore, and does not capture the total number of people involved in creating a resolution, nor does it capture the number of people who have benefited from our work.

In the course of this year, we handled 319 cases, ten more than our nine-year average of 309. Our individual statistics, such as the visitor’s demographics, position and how they contacted us, are based on the initial visitor who contacts our office.

This year we have started tracking the total number of people affected by the concern addressed by the Ombuds, and the culminating solution. 692 people were directly involved, ie. they participated in a consultation with an Ombuds. 102 people were affected indirectly, ie. they were subject to a policy we helped reform or they were engaged in a conflict with a visitor. 794 were closely affected by our work. In truth, we believe that most problems that come to the Ombuds will have some effect of a great many more people.
Staff members comprised 37% of our visitors, a 5% increase over the last two years (32% in Fiscal Year 2012-13).

11% of our visitors were faculty, which is a slightly lower percentage than the usual 18-19%. (Since visitor status represents only the initial visitor to the Ombuds, this percentage does not reflect our estimate that faculty members are directly or indirectly involved in approximately 50% of our cases.)

Student visitors this year amounted to 42% of our visitors; 27% were undergraduates and 15% graduate students. In 2011-2012, 39% of our visitors were students; 26% were undergraduates and 13% graduate students. Overall, student percentages have remained quite consistent over a number of years. We are constantly looking for new ways to reach out to the ever changing student population.

The “other” category includes parents, community members, alumni, donors, etc. and constitutes 10% of our visitors.
This year we began to use new categories for reporting race and ethnicity consistent with California law regarding protected categories. The demographics form is only filled out by people who physically visit our office, so we are not capturing those who work with us via telephone.

This will be the last year that we track gender with a male/female binary. In the future we will be using intake forms that allow people to define their own gender, and so we expect to show a much more nuanced representation of the people who come to us for assistance.
There is great variety in the number of hours we spend on a case. For example, many undergraduate student cases only need 1-3 visits with an Ombuds, and only take 1-3 hours. On the other end of the spectrum, some cases take many months to reach a resolution and can be well in excess of 20 hours.

Cases are assigned based on areas of specialty of an Ombuds as well as availability. We strive to make an appointment available to a visitor as quickly as possible.
We tracked the self-reports of visitors to determine how they heard about the Ombuds. (Since the self-reports are optional and offered only to visitors who physically come to the office, we do not have this information for every visitor.) The numbers reflect our different constituencies—staff, faculty and students—find us in different ways.

Top 5 Methods Used to Refer Students

- Friend/Peer: 25%
- Staff Member: 21%
- Website: 18%
- Repeat User: 18%
- Sign: 18%
Top 5 Methods Used to Refer Staff

- Repeat User: 39%
- Self - Knows Office: 30%
- Website: 11%
- Supervisor/Director/MSO: 10%
- Colleague/Co-worker: 10%

Top 5 Methods Used to Refer Faculty

- Repeat User: 27%
- Chair: 19%
- Faculty Member: 18%
- Presentation/Campus Meetings: 18%
- Self - Knows Office: 18%
The complexity of cases is based on a combination of factors including level of risk both to the campus as a whole and to the individual, impact on the campus or impact on individuals other than the visitor. Case complexity is rated on a one to five scale, with 1 indicating least complex and 5 indicating most complex cases. The number of hours spent on each case is not necessarily comparable to the complexity of the case, but it often correlates. Quite predictably, case complexity is a bell-shaped curve, with the greatest number being in the range of moderate complexity.
We encourage visitors to contact us by phone rather than by email because confidentiality cannot be assured using email. The vast majority of visitors contact us by phone or walk-in, but 5% of our visitors contacted us by email in the last year. This reflects the ease of use of email and the general acceptance of email as a mode of communication. We do not, however, advertise our email addresses on our website. For some, particularly student visitors, the fact that we are accessible for walk-in visits, makes us an option for them as a resource when they need immediate help.

Once visitors have begun to work with us, we offer a variety of processes to help resolve their concerns. This year, the two top processes utilized were Referral and Independent Resolution by Visitor. This is a very positive outcome, as especially in the case of Independent Resolution, the visitor is utilizing the information received from the Ombuds and the strategic options outlined to move forward with their concern.
Primary Concerns

We are in the midst of a multi-year process to revise how we gather statistics. Our legacy system used two parallel methods of tracking Visitor concerns – one from the International Ombudsman Association and a local UCSB system that predated the IOA method. We are moving towards a unified system that allows us more flexibility in how we can pull and analyze data. This year is an interim year, and we are able to have some enhanced flexibility in terms of showing visitor concerns by category of visitor – e.g. undergraduate student, faculty, etc.

Most visitors have a “presenting problem” (e.g. grade dispute, performance evaluation, interpersonal conflict) but also have various underlying issues, such as management effectiveness, faculty conduct, or policy concern. When we track categories, we note as many categories per case as are relevant for each case.

Taken in the aggregate, our visitors’ most common concerns in Fiscal Year 2013-14 were Communication, Respect/Treatment, and Supervisory Effectiveness.

In addition to this aggregate information, this year we are able to offer more detailed information on the common concerns tracked by visitor group.
STUDENTS

The three most common concerns for undergraduate students were Communication, Discipline and Assignments/Schedules.

13-14 Undergraduate Top 10 IOA Case Categories

13-14 Undergraduate IOA Case Categories
Among graduate students, the most common concerns were Communication, Respect/Treatment and Supervisory Effectiveness.

13-14 Top 10 Graduate IOA Categories

<table>
<thead>
<tr>
<th>Category</th>
<th>% of Cases</th>
</tr>
</thead>
<tbody>
<tr>
<td>Communication</td>
<td>16%</td>
</tr>
<tr>
<td>Respect/Treatment</td>
<td>12%</td>
</tr>
<tr>
<td>Supervisory Effectiveness</td>
<td>12%</td>
</tr>
<tr>
<td>Performance Appraisal/Grading</td>
<td>11%</td>
</tr>
<tr>
<td>Assignments/Schedules</td>
<td>11%</td>
</tr>
<tr>
<td>Reputation</td>
<td>9%</td>
</tr>
<tr>
<td>Bullying/Mobbing</td>
<td>9%</td>
</tr>
<tr>
<td>Priorities, Values, Beliefs</td>
<td>7%</td>
</tr>
<tr>
<td>Trust/Integrity</td>
<td>7%</td>
</tr>
<tr>
<td>Retaliation</td>
<td>6%</td>
</tr>
</tbody>
</table>

13-14 Graduate IOA Case Categories

# of Cases
Faculty, taken as a whole, were most concerned with Communication, Respect/Treatment, and Trust/Integrity.

If you look at concerns voiced by academic department chairs, Respect/Treatment was the most common concern.
STAFF

Non-supervisory staff were most often concerned with supervisory effectiveness, respect/treatment, and communication.

Business Officers and Managers were most often concerned with respect/treatment, communication, and bullying, mobbing.
Other staff supervisors were most often concerned with respect/treatment, communication and feedback.

**Business Officer/Manager Top 10 IOA Categories**

<table>
<thead>
<tr>
<th>Category</th>
<th># of cases with concerns</th>
</tr>
</thead>
<tbody>
<tr>
<td>Respect/Treatment</td>
<td>21%</td>
</tr>
<tr>
<td>Communication</td>
<td>19%</td>
</tr>
<tr>
<td>Bullying/Mobbing</td>
<td>12%</td>
</tr>
<tr>
<td>Realization</td>
<td>10%</td>
</tr>
<tr>
<td>Supervisory Effectiveness</td>
<td>9%</td>
</tr>
<tr>
<td>Priorities, Values, Beliefs</td>
<td>7%</td>
</tr>
<tr>
<td>Reputation</td>
<td>5%</td>
</tr>
<tr>
<td>Harassment</td>
<td>5%</td>
</tr>
<tr>
<td>Trust/Integrity</td>
<td>5%</td>
</tr>
<tr>
<td>Retaliation</td>
<td>7%</td>
</tr>
</tbody>
</table>

**Supervisor Top 10 IOA Categories**

<table>
<thead>
<tr>
<th>Category</th>
<th># of cases with concerns</th>
</tr>
</thead>
<tbody>
<tr>
<td>Respect/Treatment</td>
<td>17%</td>
</tr>
<tr>
<td>Communication</td>
<td>15%</td>
</tr>
<tr>
<td>Feedback</td>
<td>13%</td>
</tr>
<tr>
<td>Supervisor Effectiveness</td>
<td>11%</td>
</tr>
<tr>
<td>Performance Appraisal/Grading</td>
<td>8%</td>
</tr>
<tr>
<td>Priorities, Values, Beliefs</td>
<td>8%</td>
</tr>
<tr>
<td>Bullying/Mobbing</td>
<td>8%</td>
</tr>
<tr>
<td>Trust/Integrity</td>
<td>7%</td>
</tr>
<tr>
<td>Reputation</td>
<td>7%</td>
</tr>
<tr>
<td>Departmental Climate</td>
<td>6%</td>
</tr>
</tbody>
</table>
The top two concerns for Administrators visiting the Ombuds were communication and respect/treatment.

### Administrator Top 10 IOA Categories

<table>
<thead>
<tr>
<th>Category</th>
<th># of cases with concerns</th>
</tr>
</thead>
<tbody>
<tr>
<td>Communication</td>
<td>20%</td>
</tr>
<tr>
<td>Respect/Treatment</td>
<td>18%</td>
</tr>
<tr>
<td>Reputation</td>
<td>11%</td>
</tr>
<tr>
<td>Supervisory Effectiveness</td>
<td>10%</td>
</tr>
<tr>
<td>Performance...</td>
<td>8%</td>
</tr>
<tr>
<td>Assignments/Schedules</td>
<td>8%</td>
</tr>
<tr>
<td>Consultation</td>
<td>8%</td>
</tr>
<tr>
<td>Feedback</td>
<td>7%</td>
</tr>
<tr>
<td>Diversity Related</td>
<td>5%</td>
</tr>
<tr>
<td>Business/Financial Practices</td>
<td>5%</td>
</tr>
</tbody>
</table>

### Outreach

#### Marketing Materials

Recognizing the diversity in its constituents and in response to statistical data regarding visitor referrals, the Office of the Ombuds revised its marketing plan, offering approaches targeted for different audiences. Caroline developed a new brochure for faculty, staff, administrators. Ramey developed a logo aimed at undergraduate students, and has begun implementing it on materials in the Residence Halls. Other marketing includes:

- New staff orientation trainings
- New student orientation packets
- General Catalog and the quarterly Schedule of Classes
- Website with an array of information and resources
- Presentations to campus groups regarding Ombuds services
- Facebook educational page with relevant resources—UCSB Office of the Ombuds
- Individual letters to new chairs from the Faculty Ombuds

### Group Meetings and Presentations

We continue to strive to inform the UCSB community that the Office of the Ombuds is available to them, and to educate the community about the purpose and many uses of Ombuds. This year’s introductions to our services included:
• Open house during Staff Appreciation Week to introduce staff to our services
• Open house for graduate students with accompanying educational slide show
• Open house for new undergraduate students
• Introductory meetings with new campus administrators
• Presentations to new student orientation staff and resident advisors
• Presentations to department chairs and business officers and to College and Divisional meetings
• Presentation at the Professional Women’s Association Conference
• Presentation at ABOG meetings
• Presentations to Facilities Management
• Presentations to ISBER
• Informational meetings with CAPS, the behavioral health team, Communication Services and Alcohol and Drug Services.

Education and Prevention Program

In addition to addressing conflict and concerns on an individual basis, the Ombuds is committed to preventing conflict and reducing problems community-wide. To that end, with the support of former Executive Vice Chancellor Gene Lucas, the Ombuds launched its Education and Prevention Program. Though we have always offered trainings by departmental request, this year we have continued the planning for rolling out a broader program of education. The purpose of this educational initiative is to increase awareness of common campus difficulties, provide tools and strategies for addressing these difficulties and thereby both positively impact the campus climate and help prevent future conflict. Taking cues from the specific concerns brought to the office, Caroline has developed several new workshops to prevent concerns from arising and empower individuals to resolve conflicts. Communication and respect are top concerns for all visitors, and several workshops address these concerns as well as their underlying causes. Both Caroline and Kirsi were certified as Crucial Conversations Trainers in order to offer the Crucial Conversations course to the campus. The following is a sampling of this year’s Education and Prevention Program offerings:

Presentations
• Inclusion and Diversity in Your Classroom presented during Graduate Teaching Assistant training, addressing graduate and undergraduate student concerns of communication, respect, and bullying.
• Conflict on Campus for Graduate Students, to promote effective communication with faculty, peers, and undergraduate students.
• Lynda.com for career progression and interpersonal skills

Workshops
• Drive to Thrive to promote staff engagement and success
• Crucial Conversations to promote staff interpersonal conflict resolution
• Communications to promote effective staff communication
Tailored Department Activities
In addition, when concerns are brought forth which affect an entire department or group, we design workshops to facilitate information sharing and group skill development. We make every attempt to involve participants in the development of the workshop.

• Community and Collegiality for graduate students
• Happiness: Live Better to address workplace climate and employee engagement

Individual Meetings
We engage in outreach to our stakeholders in a variety of ways. Kirsi continued this year with individual meetings with campus leaders and administrators to hear their perspectives and concerns about the campus community. The meetings continue to include Deans, Directors, Vice Chancellors, etc. In addition, Caroline launched a similar program with departmental Business Officers, and Ramey met with departmental Undergraduate Advisors.

Observations and Interpretations
This was a harrowing year for UCSB. Beginning in January 2014, our community experienced two gang rapes, a riot and a mass shooting - all in Isla Vista. So many tragic events in one year is a lot for the community to contend with. The Office of the Ombuds became involved in various ways - ranging from helping community members think strategically about responding to these crises, to attending meetings and offering support to staff and faculty, to offering direct service to the community such as hosting the post-shooting crisis hotline. While we are deeply saddened by these events, we are also encouraged by the level of caring and commitment exhibited by so many in this community.

In the course of our work this year, we observed the following trends:

• Continuing concerns regarding administrative system changes that will be implemented on campus
• Ongoing budgetary challenges, although with many areas of campus seeing relief from the worst budget cuts and freezes
• Concern about a vision and strategic plan for the future, both for UCSB and for UC as a whole
• Concern about the situation in Isla Vista, and how to improve it
• Increased awareness by departments of the need for strategies to deal with incivility
• The accuracy and equity of performance management on all levels of the university
• Increasing awareness and activism regarding sexual violence and sexual assault in the community.
We appreciate the fact that we have access to individuals at all levels of the institution and that, in general, there is an attitude of openness to hearing about concerns in their areas.

**Plans For 2014-2015**

- Continue to provide high quality service to the UCSB community consistent with IOA Standards of Practice
- Begin rolling out the Crucial Conversations training for the campus at large
- Meet one-on-one with campus administrators, department chairs, department managers, and undergraduate advisors to initiate relationships and provide support and referral services.
- Increase our attendance of Ombuds continuing education opportunities and professional development to maintain our knowledge of the current landscape and improve our Ombudsry skills.
- Influence the development of our field through authoring professional publications and presenting at professional conferences.
- Continue to attend campus training sessions to learn and remain current on campus policies and procedures
- Continue to share our resources (such as books from a small lending library and information about campus and community resources)
- Increase print and electronic publicity for Ombuds services.
### INTERNATIONAL OMBUDSMAN ASSOCIATION

#### Uniform Reporting Categories

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, whistleblowing)
   - 2.i Physical Violence (actual or threats of bodily harm to another)
   - 2.j Assignments/Schedules (appropriateness or fairness of tasks, expected volume of work)
   - 2.k Feedback (feedback or recognition given, or responses to feedback received)
   - 2.l Consultation (requests for help in dealing with issues between two or more individuals they supervise/teach or with other unusual situations in evaluative relationships)

3. **Peer and Colleague Relationships**
   - Questions, concerns, issues or inquiries involving peers or colleagues who do not have a supervisory-employee or student-professor relationship (e.g., two staff members within the same department or conflict involving members of a student organization)
   - 3.a Priorities, Values, Beliefs (differences about what should be considered important – or most important – often rooted in ethical or moral beliefs)
   - 3.b Respect/Treatment (demonstrations of inappropriate regard for people, not listening, rudeness, crudeness, etc.)
   - 3.c Trust/Integrity (suspicion that others are not being honest, whether or to what extent one wishes to be honest, etc.)
   - 3.d Reputation (possible impact of rumors and/or gossip about professional or personal matters)
   - 3.e Communication (quality and/or quantity of communication)
   - 3.f Bullying, Mobbing (abusive, threatening, and/or coercive behaviors)
   - 3.g Diversity-Related (comments or behaviors perceived to be insensitive, offensive, or intolerant on the basis of an identity-related difference such as race, gender, nationality, sexual orientation)
   - 3.h Retaliation (punitive behaviors for previous actions or comments, whistleblowing)
   - 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 disposition 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/courses, lack of access or involuntary transfer to specific roles/assignments, requests for transfer to other places/duties/roles)
   - 4.g Resignation (concerns about whether or how to voluntarily terminate employment or how such a decision might be communicated appropriately)
   - 4.h Termination/Non-Renewal (end of contract, non-renewal of contract, disputed permanent separation from organization)
   - 4.i Re-employment of Former or Retired Staff (loss of competitive advantages associated with re-hiring retired staff, favoritism)
   - 4.j Position Elimination (elimination or abolition of an individual’s position)
   - 4.k Career Development, Coaching, Mentoring (classroom, on-the-job, and varied assignments as training and developmental opportunities)
   - 4.l Other (any other issues linked to recruitment, assignment, job security or separation not described by the above sub-categories)
5. Legal, Regulatory, Financial and Compliance
Questions, concerns, issues or inquiries that may create a legal risk (financial, sanction etc.) for the organization or its members if not addressed, including issues related to waste, fraud or abuse.

5.a Criminal Activity (threats or crimes planned, observed, or experienced, fraud)
5.b Business and Financial Practices (inappropriate actions that abuse or waste organizational finances, facilities or equipment)
5.c Harassment (unwelcome physical, verbal, written, e-mail, audio, video psychological or sexual conduct that creates a hostile or intimidating environment)
5.d Discrimination (different treatment compared with others or exclusion from some benefit on the basis of, for example, gender, race, age, national origin, religion, etc [being part of an Equal Employment Opportunity protected category – applies in the U.S.])
5.e Disability, Temporary or Permanent, Reasonable Accommodation (extra time on exams, provision of assistive technology, interpreters, or Braille materials including questions on policies, etc. for people with disabilities)
5.f Accessibility (removal of physical barriers, providing ramps, elevators, etc.)
5.g Intellectual Property Rights (e.g., copyright and patent infringement)
5.h Privacy and Security of Information (release or access to individual or organizational private or confidential information)
5.i Property Damage (personal property damage, liabilities)
5.j Other (any other legal, financial and compliance issue not described by the above sub-categories)

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

6.a Safety (physical safety, injury, medical evacuation, meeting federal and state requirements for training and equipment)
6.b Physical Working/Living Conditions (temperature, odors, noise, available space, lighting, etc)
6.c Ergonomics (proper set-up of workstation affecting physical functioning)
6.d Cleanliness (sanitary conditions and facilities to prevent the spread of disease)
6.e Security (adequate lighting in parking lots, metal detectors, guards, limited access to building by outsiders, anti-terrorists measures (not for classifying “compromise of classified or top secret” information)

6.f Telework/Flexplace (ability to work from home or other location because of business or personal need, e.g., in case of man-made or natural emergency)
6.g Safety Equipment (access to use of safety equipment as well as access to or use of safety equipment, e.g., fire extinguisher)
6.h Environmental Policies (policies not being followed, being unfair, ineffective, cumbersome)
6.i Work Related Stress and Work-Life Balance (Post-Traumatic Stress, Critical Incident Response, internal/external stress, e.g., divorce, shopping, caring for sick, injured)
6.j Other (any safety, health, or physical environment issue not described by the above sub-categories)

7. Services/Administrative Issues
Questions, concerns, issues or inquiries about services or administrative offices including from external parties.

7.a Quality of Services (how well services were provided, accuracy or thoroughness of information, competence, etc.)
7.b Responsiveness/Timefulness (time involved in getting a response or return call or about the time for a complete response to be provided)
7.c Administrative Decisions and Interpretation/Application of Rules (impact of non-disciplinary decisions, decisions about requests for administrative and academic services, e.g., exceptions to policy deadlines or limits, refund requests, appeals of library or parking fines, application for financial aid, etc.)
7.d Behavior of Service Provider(s) (how an administrator or staff member spoke to or dealt with a constituent, customer, or client, e.g., rude, inattentive, or impatient)
7.e Other (any services or administrative issue not described by the above sub-categories)

8. Organizational, Strategic, and Mission Related
Questions, concerns, issues or inquiries that relate to the whole or some part of an organization.

8.a Strategic and Mission-Related/Strategic and Technical Management (policies, 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, offshoring, 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 Funding (disputes about setting organizational/departmental priorities and/or allocation of funding within programs)
8.i Data, Methodology, Interpretation of Results (scientific disputes about the conduct, outcomes and interpretation of studies and resulting data for policy)
8.j Interdepartment/Interorganization Work/territory (disputes about which department/organization should be doing what/taking the lead)
8.k Other (any organizational issue not described by the above sub-categories)

9. Values, Ethics, and Standards
Questions, concerns, issues or inquiries about the fairness of organizational values, ethics, and/or standards, the application of related policies and/or procedures, or the need for creation or revision of policies, and/or standards.

9.a Standards of Conduct (fairness, applicability or lack of behavioral guidelines and/or Codes of Conduct, e.g., Academic Honesty, plagiarism, Code of Conduct, conflict of interest)
9.b Values and Culture (questions, concerns or issues about the values or culture of the organization)
9.c Scientific Conduct/Integrity (scientific or research misconduct or misdeemors, 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)