University of California, Santa Barbara

Office of the Ombuds
Annual Report
2016-2017

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Dear Members of the UCSB Community,

We are pleased to present our annual report for Fiscal Year 2016-2017 to provide our community with a snapshot of the conflict trends that we see on campus.

We are honored to serve in this unique role of being a resource for all of our valued community members — students, faculty, staff and others. We welcome and attend to every visitor, and every issue is important to us.

This past year saw a contentious presidential campaign and election. Concerns related to national and religious diversity were echoed on our campus. The scientific research community saw threats to funding and collaboration. We sought ways to minimize the harm stemming from divisions and to promote respect for differing opinions, while providing resources and referrals for people with real safety concerns.

We would like to thank Executive Vice Chancellor David Marshall and his staff for their continued support of the Office of the Ombuds and for the resources necessary to provide quality service to our growing campus community. We greatly appreciate our Advisory Committee members for their counsel and for giving us their unique insights into campus. Finally, we would like to thank campus leadership for their continued cooperation and collaboration in addressing issues in their respective areas and on campus overall.

Sincerely,

Caroline Adams  Michael O’Connell
Campus Ombuds  Faculty Ombuds

Shauna Shea  Michael Steinberg
Assistant Ombuds  Associate Ombuds

MISSION

The Office of the Ombuds (the Ombuds) 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. These may be disputes which do not fall within the purview of existing mechanisms, or which visitors feel are not being adequately addressed through other processes. 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.
Based on responses from our optional visitor survey...
- "The ombuds carefully listened to and understood my concerns"
- "The ombuds helped me identify and evaluate my options"

Before I came to the office, I was considering...

![Graph showing responses](image)

### 2016-2017 Risk Categories of Visitors' Concerns

<table>
<thead>
<tr>
<th>Risk Category</th>
<th>Percentage</th>
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<tbody>
<tr>
<td>High Risk Safety Issue</td>
<td>1%</td>
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<tr>
<td>Litigation Potential</td>
<td>10%</td>
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<tr>
<td>Potential for Internal/External Grievances</td>
<td>25%</td>
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<tr>
<td>Significant Violations of Policy/Code of Conduct</td>
<td>15%</td>
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<tr>
<td>Negative Publicity</td>
<td>5%</td>
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<tr>
<td>Unwarranted Attrition or Transfer</td>
<td>10%</td>
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<tr>
<td>Loss of Departmental Activity</td>
<td>20%</td>
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### How did the Ombuds Office help?

- Strategize...86%
- Inform...62%
- Referral to another office...31%
- Research...29%
- Contact others...29%
- Mediation...18%
There were 439 visitors to the Ombuds Office in 2016-2017, compared to a five-year average of 370.

A few comments from the anonymous visitor's survey...

- "The Office of the Ombuds was a comfortable environment to get feedback and further direction with issues that felt out of my control and overwhelming. Thank you."
- "Provided wonderful clarity to complex issues. Thank you!"
- "This service was extremely helpful. I was feeling very lost when I came in and feel now like I know my options. Thank you!"
Overview

During fiscal year 2016-17, we had 439 cases, which is roughly the same number of cases as the last two years, and significantly higher than the five-year average of 370 cases. The percentage of cases each month is similar to previous years, other than an uncharacteristic spike in May and a drop in January.

The office employs two certified mediators, and all of the ombuds have completed mediation training. This has allowed for an increase in mediations to 18% of cases, compared to 10% for 2015-16, and 5% for 2014-15. This year has also seen an increase in the number of groups or entire departments seeking assistance with conflict and collaboration. We conducted several facilitations, serving well over 100 staff.

Most visitors have a “presenting problem,” for instance, a grade dispute, performance evaluation, interpersonal conflict. Often there are various underlying or related issues, such as management effectiveness, faculty conduct, or a policy concern. We track the general types of concerns that come to us, but destroy our notes or other records relating to the specific content of communications. The Office of the Ombuds uses a shortened version of the International Ombudsman Association case categories to track cases. When we track categories of concerns, we may note up to 3 categories per case, if relevant.

Taken in the aggregate, Respect and treatment remains the main reason that most visitors came to the office, followed by Departmental Climate, which describes concerns affecting more than one or two individuals. Management Effectiveness and Performance Appraisal or Grading (for students) were also significant concerns overall in 2016-17.

Demographics

We maintain only anonymized records of cases, tracking only basic information regarding demographics, position and division. We destroy any records with individual names or other identifying information, such as contact information or specific department. About half of our visitors were staff, 20% were undergraduate students, 15% were faculty and 10% were graduate students. Therefore, faculty and staff are overrepresented among our visitors compared to the campus population, while undergraduates are underrepresented compared to campus. The percentage of visitors who were graduate students is roughly similar to campus percentage. Visitor race/ethnicity and gender do not seem to differ significantly from the campus profile; however, because the Office of the Ombuds offers visitors more nuanced categories of identification, data can not be directly compared in all categories. More details are available in Appendix C.

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1 We track “cases” which involve a distinct individual and a distinct problem. If an individual visits the office several times for one problem, it will be reported as one case. If the individual returns with a different problem, it will be considered an additional case. If two individuals are in conflict with each other, it is recorded as two cases, as each individual has their own unique needs.

2 See Appendix B

3 See Appendix A

4 Ombuds use the term “visitor” to describe a person using ombuds services.
In 2016-2017, undergraduate students comprised 19% of all visitors to the office. Undergraduate students were 74% of UCSB’s overall population.

Ombuds staff members met with 20+ undergraduate department advisors and staff from 10 other departments working directly with students.

Here are a few hypothetical situations that may bring an undergraduate student to the Ombuds Office.

One of Miguel’s classmates consistently makes inappropriate comments about the professor during class. The comments aren’t loud enough for the professor to hear, but just loud enough for surrounding classmates to hear. Some of her classmates laugh at the comments, which makes Sam more uncomfortable.

**How can the ombuds help?**
- Help Miguel identify what is most important to him in this situation
- Refer Miguel to any other relevant offices
- Help Miguel to develop options for taking action or inaction

Sam received poor grades on her midterm and essay exam. She has e-mailed her professor twice to ask about it, but hasn’t gotten a response. She feels like her professor is ignoring her and doesn’t want to help her. She doesn’t know what to do next.

**How can the ombuds help?**
- Help Sam prepare for an in-person conversation with her professor
- Help Sam to consider other possible reasons the professor didn’t respond
- Refer Sam to CLAS (Campus Learning Assistance Services)
Demographics

Undergraduate student visitor ethnicity, gender, international student status, and transfer student status demographics are very similar to campus demographics for undergraduate students.

2016-2017 Top Concerns of Undergraduate Students

Grading has been the #1 concern of undergraduate student visitors for the previous 6 years.

How Did the Ombuds Help?
Undergraduate Student Concerns

The office has seen a slightly smaller percentage of undergraduate students (19% of our visitors were undergraduate students), compared to 22% last year, and 25% for 5-year average.

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We continued to inform this constantly changing population about our office and the services that we offer. Walk-in visitors, who are most commonly students, were about half of normal - 19% of visitors versus 23%. We provided information about other campus resources to 42% of undergraduate visitors.

Students’ reasons for coming to the office were very similar to last year’s. By far the most common reason that undergraduate students came to the office was concern with Grading. In these cases, we coached students how to communicate effectively with a professor or TA. We also directed them to CLAS for assistance with course content. On some occasions, a poor grade was indicative of another underlying issue which we discussed and then provided appropriate resources, such as referrals to Alcohol and Drug Counseling if substance abuse was the cause, or to the Community Housing Office in cases where the home environment was having a negative effect. We also informed student about the appropriate processes for appealing grades.

The next most common reason that undergraduate students came to the Ombuds was Discipline. We have heard from many students this year that they are concerned that they have or will be reported to Judicial Affairs. We have also fielded concerns about faculty members imposing discipline outside of the Judicial Affairs process. Some undergraduates came to us because they have been accused of plagiarism. We have helped them understand university expectations and come to terms with the consequences. Undergraduates continue to express concerns that they are unaware of the standards related to plagiarism; for instance, they have not clearly understood the rules regarding collaboration in a specific class, or related to proper citation.

Another common concern was Administrative Decisions and Interpretation of Rules. Some cases in this category accompany Grading and Discipline concerns. Others are related to Registrar or Financial Aid processes or decisions. With increased enrollment, students have had issues with not getting into their choice of classes. Students have occasionally expressed dissatisfaction with staffing levels and accompanying service.

Also like last year, Use of Positional Power and Respect/Treatment were among top concerns. Students expressed concern with treatment by other students as well as by faculty who often have a very different communication style and expectations. Undergraduate students in particular may have little experience with interpersonal conflict and this may be one of the first academic- or work-related conflicts that they have to handle on their own without parental assistance. We coached them in effective communication so that they can understand and be understood. We also worked to help them understand better how to navigate the large university and to get information they need to make appropriate decisions and effectively advocate for themselves.

The cumulative percentage of Hispanic, Latino, and Chicano undergraduates who visit the office has declined slightly over the past two years. While this may be the result of increased services by other offices, we intend to make concerted efforts to reach out to this population in 2018.
In 2016-2017, graduate students comprised **12%** of all visitors to the office. Graduate students were **9%** of UCSB's overall population.

The Ombuds Office conducted overview presentations for graduate students in several departments, as well as trainings on communication and collaboration.

Here are a few hypothetical situations that may bring a graduate student to the Ombuds Office.

Ari is not getting along with one of the faculty members on his committee. Ari is thinking of asking a different faculty member to be on his committee, but he has no idea how to start the conversation to replace the current faculty member. He is losing sleep and unable to focus on his coursework.

**How can the ombuds help?**
- Help Ari identify his options for moving forward with or without the current faculty member
- Help Ari form talking points for the conversations
- Refer Ari to CAPS to help with the psychological impact

Kim's friend in her cohort tells her about a series of inappropriate actions with a professor. Kim thinks it kind of sounds like sexual assault, but she isn't sure. The professor is also involved with Kim's research, which complicates things for Kim. She is not sure what to do, or if she should share this information with anyone.

**How can the ombuds help?**
- Share resources with Kim (e.g. CARE, Title IX, CAPS), so Kim can share them with her friend
- Listen to Kim and help her to identify her options for moving forward, and in helping her friend
- Help Kim understand the definition of sexual assault
Respect/treatment, communication, and grading have been among the top concerns for graduate students for the previous 5 years.
Graduate Student Concerns

In 2016-17, 22% of graduate student visitors were international, up from 5% in 2015-16. 45% of graduate visitors were provided with referrals to other campus resources as one of their options.

The vast majority of graduate cases involved the relationship between a student and advisor. Graduate students often were concerned their advisor’s control over their academics, financial opportunities, and even future positions. They were often afraid to raise concerns because of fear of damaging the relationship with the advisor and therefore consequences for their careers.

The top four concerns for graduate students were the same as last year. Similar to last year, Respect/treatment was by far the top concern. Poor Communication Skills was a concern in over 20% of cases. We have heard concerns about misunderstandings, lack of timely communication, and insensitive or inappropriate comments. We provided communication skills coaching to graduate students and conducted mediations between faculty and graduate students.

Graduate Students also expressed concern with Performance Appraisal or Grading, including time to degree. Equity of treatment was also a top concern. Some graduate students expressed disappointment with the allocation of teaching and other funding opportunities. Some graduate students and postdocs had concerns related to faculty taking credit for or using their work in publication, research or patents.

Again, like last year, Mental Health was a factor in many cases. We saw graduate students under high stress, due to both academic pressure and personal or behavioral health issues and provided referrals to the Graduate Academic Counselor. We heard some allegations of Harassment, most based on gender, ranging from treatment of female TAs by undergraduate students to complications of romantic relationships within a department. Bullying/mobbing and Reputation were more prevalent concerns this year. Graduate students also expressed concerns about negative impacts to property or work by other graduate students.

The Ombuds gave presentations to graduate students in several different departments, to provide an overview of the Office of the Ombuds as well as other resources. The Ombuds also led some discussions with graduate students on the relationship between freedom of expression and silencing certain groups or individuals. Graduate Students reported inconsistencies in the information they received regarding campus resources. Graduate students suggested that resources could be shared in the introductory classes to TAship, in syllabi, or in TA training. Work-life balance may also be a potential subject area for graduate student education. The impact of stress may be exacerbated by the lack of social support outside of their academic department; lack of physical wellness (healthy eating, exercise, sleep); and lack of interest or meaning outside of academic department which has been presented to us on numerous occasions.

Some graduate students felt that it would be useful for Graduate Division to have anonymous exit surveys for students who leave their program. Concerns might possibly be mitigated by providing more guidance for TAs regarding how to manage their relationship with their supervising professor; and for graduate students regarding how to manage their relationship with their advisor.
Respect/treatment and departmental climate have been among top concerns of faculty members for the previous 3 years.

Respect/treatment and departmental climate have been top concerns of chairs for the previous 2 years.

Reputation was a top concern for faculty and chair visitors in 2016-2017, though it has not historically been a top concern.
in 2016-2017, faculty members comprised 15% of all visitors to the office. Faculty members were 4% of UCSB's overall population.

Demographics

**Ethnicity**

29% of faculty visitors self-identified as non-white- Asian American, Hispanic, Latino/a, African American, Middle Eastern, or 2+ ethnicities, compared to 21% of faculty on campus.

**Gender**

42% of faculty visitors self-identified as female (compared with 35% of all faculty at UCSB), and 58% as male. The question of "gender" was open-ended and allowed visitors to write responses other than "male" or "female."
Faculty Concerns

*Respect/treatment* remained the top concern of faculty. We have seen faculty with concerns about how their colleagues communicate, including failure to listen, dominating conversations, and being dismissive. Concern with *Reputation* was a top concern for both faculty and chairs. Interestingly, last year this was not a top concern for chairs. Faculty also brought concerns based on receiving negative comments about them from students or other faculty, both written and oral. We addressed concerns about receiving appropriate credit for scholarship and research. Some faculty expressed concern about the level of informality with which students communicate with them. This may come of inconsistency among faculty as to the ways in which they wish to be addressed. There are also concerns about students not being prepared for the rigor and academic challenge of an elite teaching university, for instance, in their writing and analytical skills.

Additionally, *Departmental Climate, Bullying/Mobbing and Equity of Treatment* were common reasons for visitors to come to the Office of the Ombuds, both this year and last. Some cases involved allegations of perceived gender bias, while others alleged unfair treatment on more personal or ideological grounds. We provided coaching to those in leadership positions regarding how to handle disputes between faculty, and we provided mediation services when appropriate. We also heard concerns related to the qualifications of faculty members to serve on search committees for both staff and faculty positions, including concerns related to implicit bias and best practices to mitigate it. Notably, allegations of discrimination were not a frequent concern of faculty nor chairs, as they were last year.

*Administrative Decisions and Interpretation of Rules* was a frequent concern, which was not the case last year. Some faculty, at varying ranks, expressed feeling overwhelmed, expressing they are not receiving the support they need from staff, who are too busy, too new and/or not adequately trained. Some faculty sought our assistance with administrative problems resulting in financial impacts to them. The ombuds provided feedback to staff and administrators who implemented procedures to prevent or mitigate similar problems in the future. Establishing clear protocols for the assignment of staff to faculty for special projects, research assistance, and conferences could help avoid confusion and misunderstandings. We fielded some concerns regarding promised research equipment and facilities.

Several faculty, including chairs themselves, expressed frustration with the chair’s position in relation to the aforementioned issues of respect, bullying, equity and departmental climate. While chairs felt that “nuts-and-bolts” preparation and matters of budget and financial procedure are adequately covered, they expressed that they would have benefited from more preparation to deal with matters of personnel management, an area in which most new chairs have had little experience.

As a remedy, some chairs have expressed appreciation for receiving a briefing and help from a previous chair, but this does not appear to occur universally or as a formalized process. A more formalized mentorship for new chairs and for new faculty may be helpful. Several chairs expressed interest in the opportunity to take *Crucial Conversations*. We hope that the opportunity for *Crucial Conversations* or other communication and leadership workshops will be available more broadly to chairs and academic leaders in subsequent years. Finally, all faculty search committee members could take advantage of the Office of Equal Opportunity’s consultation around best practices to combat implicit bias in hiring.
In 2016-2017, Staff members comprised 52% of all visitors to the office. Staff members were 13% of UCSB's overall population.

Demographics

**Ethnicity**

17% of staff visitors self-identified as non-white - Asian American, Hispanic, Latino/a, Chicano/a, African American, Middle Eastern, or 2+ ethnicities, compared to 37% of all staff on campus.

**Gender**

67% of staff visitors self-identified as female (compared to 52% of all staff at UCSB), and 33% as male. The question of "gender" was open-ended and allowed visitors to write responses other than "male" or "female."
2016-2017 Top Concerns of All Staff

- Management Effectiveness
- Departmental Climate
- Respect/Treatment
- Poor Communication Skills
- Communication
- Bullying/Mobbing
- Use of Positional Power
- Harassment

Staff have consistently rated departmental climate, management effectiveness, respect/treatment, and communication as top concerns for the previous 6 years.

Top Concerns of...

- **Non-Supervisory Staff**
  - Respect/Treatment 39%
  - Management Effectiveness 33%
  - Departmental Climate 25%

- **Supervisors**
  - Tenure Position and Security 21%
  - Respect/Treatment 21%
  - Poor Communication 17%

- **Administrators/Directors/SMGs**
  - Departmental Climate 31%
  - Poor Communication Skills 20%
  - Communication 14%

Trainings

- **Crucial Conversations**
  - 4 classes (staff) + 1 class (faculty/administrators) + 2 review sessions
  - 150 staff and faculty total

Designed and conducted 15 trainings in conflict style, communication, collaboration, coaching, employee engagement, psychology, negotiation, receiving feedback

350+ staff and 50 students total
Staff Concerns

Staff made up a larger percentage of visitors than in previous years, 52% compared to 46% last year, and 37% for a 5-year average. Staff who do not hold supervisory positions made up the largest percentage of staff visitors at 48%. These staff are generally more vulnerable as they often have less authority and less information about communications which came down the chain of command. They can benefit from consultation with the Ombuds by gaining a better understanding of policy and procedures, and how the university works generally. Senior staff managers, business officers, and directors were significantly represented at 39% of staff visitors, up from 13% last year. Senior staff sought assistance with interpersonal conflict among their staff, as well as personnel matters with subordinate supervisors. Lower level supervisors only made up 13% of staff visitors.

Departmental climate has been growing as a concern over the past few years, becoming the top concern this past year overall, the top concern for directors/administrators, and in the top three for non-supervisory staff. Management effectiveness remained in the top couple of concerns overall and remained so particularly for non-supervisory staff. Concerns included supervisors’ demands; lack of consideration for ideas; lack of feedback; failure to respond or provide information; bullying; or not holding others accountable. Concerns with a supervisor were often accompanied by general dissatisfaction with the position or job stagnation.

Respect/treatment remained among the most common concerns overall and for every staff group. Communication, Poor Communication Skills, and Bullying/Mobbing were also prominent concerns both this year and last. Staff came to us regarding conflict with staff colleagues, including inappropriate comments, gossip, and even complete shutting down of communication. There were some issues related to demands by students. Some staff expressed disappointment with the lack of adequacy of training to perform the specific duties of their job, including PPS and travel, which resulted in mistakes, inefficiencies, and a negative impact on relationships with supervisors. Likewise, Harassment and Use of Positional Power were common issues both years.

Staff directly supervised by faculty reported more concerns about faculty than other staff. Staff expressed that they had heard condescending or abrasive comments by faculty. This group of staff had concerns about workload and meeting performance expectations. Some staff shared their frustrations that they believe faculty are not appropriately following procedures or providing good stewardship of resources.

Non-managerial supervisory staff came with concerns that were not common among other staff groups. Their top concern was Security of Position and they were also highly concerned with Compensation/Benefits. The latter was also seen last year as a top concern only in this group. Staff expressed frustration with merit that did not seem to match the level of their evaluations, evaluations that did not match their achievement, or that merit did not keep up with the cost of living. Concerns that union employees’ wages were rising faster than non-represented employees was also a commonly expressed sentiment.

We also fielded many questions by staff visitors with concerns related to student mental health as well as unwelcome off-campus individuals and groups into departments and speaking venues.

Some staff felt that it would be useful to have anonymous exit surveys for staff who leave their department to raise concerns without fear of retaliation.
Trainings and Outreach

Education and Prevention Program

In addition to addressing conflict and concerns on an individual or small group basis, the Ombuds is committed to preventing conflict and reducing problems community-wide. The purpose of this educational initiative is to increase awareness of common campus difficulties, provide tools and strategies for addressing these difficulties and thereby improve the campus climate and help prevent future conflict. Taking cues from the specific concerns brought to the office, we have developed several new workshops to prevent issues from growing and empower individuals to resolve conflicts. Communication and respect are top concerns for all visitors, and several Ombuds workshops address these concerns as well as their underlying causes. Both the Campus Ombuds and Associate Ombuds are certified Crucial Conversations trainers, and have continued to collaborate with other trainers on the campus effort to inform more members of the community about this approach. We also conducted review sessions to help refresh and maintain skills.

We designed and conducted 15 other trainings for over 350 staff and 50 students. These included trainings on conflict style, communication, collaboration, coaching, employee engagement, psychology, negotiation, and receiving feedback. We presented to graduate students in eight different departments, to Lead Teaching Assistants, to new faculty, and to staff in Housing and Residential Services.

Tailored Department Activities

When concerns were brought forth which affected an entire department or group, we engaged a variety of department-wide solutions. We designed and issued climate surveys and/or department interviews. We designed workshops to facilitate information sharing and group skill development. We also facilitated problem-solving within groups. In order to best meet the needs of the groups, we made every attempt to involve participants and department leadership in the development of the workshop by getting background information and ascertaining goals.

Individual Meetings

We held informational meetings with twelve different campus partner offices which serve as referrals. We met individually with many undergraduate advisors, business officers, chairs and senior administrators.

Marketing

This year, we began a new project of designing informational and educational flyers aimed at undergraduates, for residence halls, undergraduate advisors, and Greek members. We also created several different informational bulletin boards outside of our office. New Employee Orientation included an introduction to our office.

This year we also made a concerted effort to increase our on-line presence. We began the process of reconfiguring our website to make it more useful and navigable. We continue to maintain a presence on Facebook.
Ombuds Advisory Committee

The Ombuds Advisory Committee met three times in the course of the academic year. 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 Ombuds staff serve as ex officio members.

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 any complaints about the Ombuds.

The appointed members for 2016-2017:

- Mary Lum, staff representative and Chair
- Deb Karoff, staff representative
- Cherie Briggs, faculty representative
- Carol Lansing, faculty representative
- Samantha Powers, graduate student representative
- Christian Ortiz Gonzalez, undergraduate representative

Ombuds Office Staff Notes

The office is led by Caroline Adams, Director and Campus Ombuds. Michael O'Connell continued his 25% appointment as Faculty Ombuds for the fourth year. Michael Steinberg is the Associate Ombuds and Shauna Shea is the Assistant Ombuds.

All of our staff are members of the International Ombudsman Association (IOA). This organization provides professional affiliation, training, and certification, as well as ongoing problem-solving, research and resources with regards to current challenges in our work. We operate consistently with the IOA standards of practice, including the four tenets described above. Our credibility as an office and as members of the profession is tied directly to adhering to these tenets, as is our ability to maintain confidential information.

Caroline Adams continued to maintain her status as a Certified Organizational Ombudsman Practitioners (CO-OP™) through the International Ombudsman Association.

Caroline, Michael and Shauna all served on subcommittees of the Health Campus Network. Caroline also served on the Campus Regulations Committee, the Threat Management Team, and a non-voting participant in some searches. She is Chair of the American Bar Association Dispute Resolution Ombuds Committee. She presented at the International Ombudsman Association annual conference and at the Straus Institute of Dispute Resolution at Pepperdine.

Michael Steinberg served on the campus lynda.com committee. He also served on the International Ombudsman Association Annual Conference Activities Committee.
Professional Development

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, to ensure the integrity of consultation provided to the university community.

We have continued to attend relevant UCSB briefings and trainings regarding the campus (e.g. campus systems, processes, updates and town halls). We have also continued to seek educational opportunities for Ombuds staff. We participated in relevant webinars and other remote training opportunities as practicable, as well as some specialized training. Professional Ombuds trainings/meetings attended were as follows:

Caroline Adams attended the International Ombudsman Association Annual Conference, the American Bar Association Dispute Resolution Section Annual Conference, and the California Caucus of College and University Ombuds. She also stays up to date with current issues in ombuds practice and employment and higher education law with periodic webinars.

Michael Steinberg also attended the International Ombudsman Association Annual Conference and completed Crucial Conversations Train the Trainer. Shauna Shea completed the Foundations of Organizational Ombudsman Practice through the International Ombudsman Association, as well as the mediator training and Crucial Conversations. Michael O'Connell also completed Crucial Conversations training.

Physical Space

The Ombuds has been located in 1205-K Girvetz Hall since May 2005. This location offers our visitors a relatively private entrance yet in a central location.

We believe that the physical and psychological comfort of our visitors is of utmost importance. We have continued to use the 'white noise' system to deal with acoustic issues related to confidentiality and added another individual noise machine. It provides the necessary privacy enhancement that allows us to maintain our standard of confidentiality in a limited amount of space. We are also in the process of installing blinds throughout the offices that provide privacy while still permitting light to come through. Multiple exits also help facilitate visitor privacy.

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 hierarchy and is not an office of notice to the University. The Ombuds reports to the Executive Vice Chancellor for administrative and budgetary purposes only. The substance of confidential matters addressed by the Ombuds are shared with administration only in the form of trends. We appreciate the fact that we have access to individuals at all levels of the institution and that, in general, senior administrators are open to hearing about concerns in their areas.

Impartiality: The Ombuds is impartial. The Ombuds 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 concludes that a university policy or procedure is unfair, the Ombuds will advocate for fairness. The Ombuds does not act as a witness or conduct official investigations.
Informality: The Ombuds is informal. The Ombuds staff offer a variety of consultation services such as coaching, informal mediation, and strategic assessments 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 as to the identity of visitors and the substance of concerns. The only exception to this confidentiality is when the Ombuds determines that an imminent threat of serious harm exists.

Goals for 2017-18

- Serve the UCSB community with quality care consistent with IOA Standards of Practice
- Increase utility of our website to leverage the hundreds of people who access it monthly by creating and posting practical self-help educational materials
- Mitigate future conflict by encouraging participation in Crucial Conversations training for all levels of the University community, including faculty, senior administrators, and business officers, and expand specialized offerings; as well as by developing new trainings and workshops to prevent and mitigate conflict
- Expand training offerings to subject areas with an indirect but correlated effect on conflict, such as employee empowerment and career development
- Grow relationships with senior leadership, prioritizing new senior administrators to share the resources of our office, stay informed, and collaborate on shared goals
- Grow relationships with new department chairs, department managers, and undergraduate advisors to share our office as a resource for managing departmental conflict
- Increase outreach to undergraduate students and underrepresented minorities
- Increase our attendance of continuing education opportunities and professional development to maintain knowledge of the current landscape and to improve our skills and expand upon the services we can offer
- Influence and further the development of our field by providing thought leadership in national organizations, authoring professional publications and presenting at professional conferences
- Remain current on campus policies and procedures and understand campus priorities by attending campus trainings and briefings
- Continue to be a hub for referrals and a center for resources by maintaining a knowledge base, developing innovative means to share it, and taking advantage of campus partnerships
Appendix A. List of Possible Significant Concerns

Individual Concerns:
- Mental Health
- Substance Abuse
- Ethical Dilemmas
- Reputation
- Equity of Treatment
- Respect/Treatment
- Bullying/Mobbing
- Compensation/Benefits
- Career Development, Coaching, Mentoring
- Communication
- Hiring & Recruitment
- Classification and Job Description
- Tenure / Position Security
- Work Related Stress & Work-Life Balance
- Performance Appraisal/Grading
- Discipline
- Resignation
- Termination/Non-Renewal

Systemic Concerns:
- Admin Decisions, Rule Interpretation/Application
- Change Management
- Departmental Climate
- Campus Climate
- Campus Leadership Priorities
- Allocations of Funding
- Standards of Conduct
- Values and Culture
- Communication Failures

Illegal Activity
- Conflict of Interest / Ethics
- Business and Financial Practices
- Intellectual Property Rights
- Scientific Conduct/Integrity
- Safety
- Physical Violence
- Criminal Activity
- Harassment
- Discrimination
- Disability
- Accessibility
- Retaliation

Concerns with Others' Performance:
- Quality of Services
- Timeliness of Service Response
- Management Effectiveness
- Use of Positional Power
- Poor Communication Skills
Appendix B: Cases per month and Hours per case

# of Cases by Month 2016-17 & 5-Year Average

<table>
<thead>
<tr>
<th>Year</th>
<th># of Cases</th>
</tr>
</thead>
<tbody>
<tr>
<td>06-07:</td>
<td>228</td>
</tr>
<tr>
<td>07-08:</td>
<td>318</td>
</tr>
<tr>
<td>08-09:</td>
<td>366</td>
</tr>
<tr>
<td>09-10:</td>
<td>330</td>
</tr>
<tr>
<td>10-11:</td>
<td>343</td>
</tr>
<tr>
<td>11-12:</td>
<td>370</td>
</tr>
<tr>
<td>12-13:</td>
<td>307</td>
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<tr>
<td>13-14:</td>
<td>319</td>
</tr>
<tr>
<td>14-15:</td>
<td>442</td>
</tr>
<tr>
<td>15-16:</td>
<td>428</td>
</tr>
<tr>
<td>16-17:</td>
<td>439</td>
</tr>
</tbody>
</table>

# of Hours per Case

- 1-3 hours: 67%
- 4-6 hours: 29%
- 7-9 hours: 2%
- 10-15 hours: 2%
Appendix C: Demographics Detail

Ombuds visitor population with comparison to overall campus population

**2016-17 Visitor Ethnicity**

- White/Caucasian: 58%
- Female: 59%
- Male: 41%
- Unknown: 14%
- Pacific Islander: 0.45%
- Asian American, Asian: 10%
- Mexican, Mexican-American, Chicano: 6%
- Spanish-American, Latino/Hispanic: 4%
- Middle Eastern: 3%
- 2 or More: 2%
- African American/Black: 3%
**Most recent UCSB Staff and Faculty data available is from November, 2015.**
**2016-17 Faculty Visitor Ethnicity**

- African American: 12%
- Middle Eastern: 2%
- Spanish-American, Latino/Hispanic: 7%
- Asian American: 8%
- White/Caucasian: 71%

**2014-15 UCSB Faculty Ethnicity**

- Native American: 1%
- Hispanic: 7%
- African American: 2%
- Asian American: 11%
- White/Caucasian: 79%

**Most recent UCSB Staff and Faculty data available is from November, 2015**
**Most recent UCSB Staff and Faculty data available is from November, 2015**
Appendix D: Visitors' Evaluations of Ombuds

<table>
<thead>
<tr>
<th>Question</th>
<th>% Yes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. It was easy to contact the Office of the Ombuds</td>
<td>99%</td>
</tr>
<tr>
<td>2. I felt the physical space contributed to the sense</td>
<td>100%</td>
</tr>
<tr>
<td>of privacy/safety/confidentiality</td>
<td></td>
</tr>
<tr>
<td>3. I trust the Office of the Ombuds to maintain confidentiality</td>
<td>100%</td>
</tr>
<tr>
<td>4. I felt comfortable discussing my problem with the ombuds and was treated with respect</td>
<td>99%</td>
</tr>
<tr>
<td>5. The ombuds carefully listened to and understood my concerns</td>
<td>99%</td>
</tr>
<tr>
<td>6. The ombuds helped me identify and evaluate the options</td>
<td>99%</td>
</tr>
<tr>
<td>7. I would use the Office again or refer others to the Office</td>
<td>98%</td>
</tr>
</tbody>
</table>

Sample of written comments from visitors:

"Ombuds listened to my problem and asked the right questions to get a thorough idea of the issue. I feel confident in moving forward where before I was nervous about what to do. Thank you."

"The Ombudsman/counselor was extremely helpful. He asked relevant questions, let me speak without interruption, and spoke objectively, helping me get a broader perspective without devaluing my own subjectivity. I will be suggesting this office to colleagues when they have issues."

"I appreciate the time spent helping me understand my best options."

"I appreciate the 'listening ears' from an objective point of view and I'm grateful for the feedback."