



The University of Tennessee at Chattanooga

# Office of Ombuds Services Charter

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*Last Updated September 21, 2023*

## Introduction

The office serves as an independent, impartial, confidential, and informal resource for the campus employees both faculty and staff. The office was established by the chancellor to provide the university community an informal channel of conflict resolution and to obtain access to impartial and honest resolution of problems within the organization. The office is staffed by ombuds professionals who practice in accordance with professional standards and will work with visitors as trusted consultants.

## Mission

Ombuds serve staff and faculty, empowering them to constructively navigate challenges related to their experiences at the University of Tennessee. We build the community's capacity to constructively manage current and future challenges, through individual consultations, mediations, and educational programming. We support organizational improvement by surfacing emerging concerns and systemic issues within the University. We contribute to the advancement of the ombuds profession through leadership, research, and service to the international ombuds community.

## Responsibilities

The Office of Ombuds Services is responsible for:

- Providing a confidential and safe space for visitors to share, discuss, and reflect on their experiences
- Providing consulting and coaching services to assist visitors engaging in proactive individual as well as organizational problem solving
- Serving as a source of information for visitors informing them of formal organizational resources that may include policies and procedures as well as staff and faculty support offices
- Facilitating informal conflict resolution at the request of visitors
- Engaging in informal discussions about policies, procedures, and specific visitor situations that can help facilitate informal conflict resolution
- Engaging in outreach and educational activities that assist visitors and specific units
- Preparing an annual activity report that summarizes trends among visitor experiences to identify systemic issues that inform future development of campus policies and practices
- Presenting the annual report to university leaders, as well as staff and faculty support offices.

## Standards of Practice

The Office of Ombuds Services will operate consistently with the International Ombuds Association (IOA) Code of Ethics and Standards of Practice. The IOA is dedicated to excellence in the practice of ombuds work and their code of ethics provides a common set of professional ethical principles to which members adhere. The IOA Code of Ethics reflects a commitment to promoting ethical conduct in the performance of the ombuds role and to maintaining the integrity of the ombuds profession. The ombuds shall be truthful and act with integrity, shall foster respect for all members of the organization they serve, and shall promote procedural fairness in the content and administration of the organization's practices, processes, and policies.

### ***Independent***

The office is independent in structure, function, and appearance to the highest degree possible within the university and independent of internal and external forces. This is achieved through organizational recognition, reporting structure, and impartiality. The office reports to the chancellor, but the chancellor does not direct or control the day-to-day operations of the office. The office is not affiliated with any compliance function, and any guidance provided is not binding. The office budget and operations are managed by the director of the office

### ***Impartial***

The office does not take sides and instead works each situation in a manner that allows everyone involved to be treated professionally and in good faith. The ombuds will not act as an advocate in any conflict, dispute, or issue. The office does not engage in situations which could create or imply a conflict of interest, including serving as an advocate for any party.

### ***Confidential***

The office is a confidential and off-the-record resource for visitors except as may be required by law. The ombuds does not keep detailed visitor records, and any reporting required shall be done in a way that protects visitor confidentiality. Unless otherwise required by law, the office does not participate in formal processes, whether internal or external to the university, even when given permission by the individual who consulted with the ombuds.

The only exceptions to confidential communications include when:

- Permission is granted by a visitor to disclose information
- There appears to be an imminent risk of serious harm
- Disclosure is required by law

### ***Informal***

The office provides informal services to visitors and other parties who seek consultation voluntarily. A visit to the office does not trigger any formal processes at other university units. Office services are not part of any administrative or formal university procedures and are not a required step in any formal process available at the university. Additionally, the office does not participate in any formal adjudicative or administrative procedure related to concerns brought to the office, unless compelled to do so by law.

## **Procedures and Operations**

When visitors talk with the ombuds they will:

- Be treated respectfully
- Not be required to share their conversations with anyone else
- Not be required to engage in formal procedures or any other grievance processes

The office operates as a safe space for staff and faculty to share their experiences, and it works to protect fairness and respect for all. Retaliation to visitors will not be tolerated by university leaders following university policy as well as state law.

### **Authority and Limits**

The office supplements, but does not replace, existing formal processes available. Generally, the use of ombuds services does not delay the filing of any formal grievance or complaint procedure. In most cases, the ombuds may serve as an informal mediator if the visitor has not started an appeal through formal procedures. The office does not have the authority to change or overrule any university policy or administrative decision. The office has no authority to institute corrective measures on behalf of the university or to receive notice of any claims against the university.

### **Reporting**

While the office is independent, it reports to the chancellor and prepares a report that is submitted every fiscal year. The report will include information related to (a) the number of staff and faculty served, (b) services provided to visitors, (c) any recommended change to university policies and procedures with rationale, and (d) any other matters that the office deems necessary or advisable to support employees and university governance. The annual report shall not disclose any information that the ombuds is required to keep confidential in accordance with the IOA Code of Ethics and Standards of Practice. The annual report will be shared with the chancellor and various university units that support staff and faculty.

### **Conflict of Interest**

When a perceived or real conflict of interest exists, the ombuds will take appropriate actions to disclose and avoid the conflict. The ombuds may advocate for fairness of process but not for an individual's position or perspective.

### **Evaluation**

The office and university ombudsperson job performance is evaluated by the chancellor.

### **Amendment**

Any amendments hereto will be proposed and discussed with the chancellor as well as other appropriate individuals.