

5 [University and College Ombudsman Association ethical principles, newsletters
and conference programs] circa 1995

ETHICAL PRINCIPLES FOR UNIVERSITY AND COLLEGE OMBUDSPERSONS

An ombudsperson is guided by the following principles: objectivity, independence, accessibility, confidentiality and justice; justice is pre-eminent.

An ombudsperson hears and investigates complaints objectively. Objectivity includes impartial attention to all available perspectives on an issue and may or may not entail support of any particular perspective.

An ombudsperson acts as independently as possible of all other offices and avoids conflict of interest, external control and either the reality or the appearance of being compromised.

An ombudsperson is readily accessible to all members of the constituent community, promotes timely solutions to problems and avoids either the reality or appearance of bias toward any individual or group.

An ombudsperson treats with confidentiality all matters brought to him or her. No action is taken on a complaint without the complainant's permission. Information retained by the ombudsperson is kept secure. However, with the verbal or written permission of the complainant, such information may be carried forward by the ombudsperson.

If a complainant reports a serious problem but is unwilling to be part of any steps taken to address it, an ombudsperson tries to find a way to address the problem that is acceptable to the complainant, or that does not compromise the identity of the complainant.

However, if an individual speaks about intending serious harm to himself or herself or others, or if the complainant confesses to serious misconduct or a crime, an ombudsperson must use personal discretion in determining whether or not this information is carried forward. Discretion is likewise required in regard to matters governed by state and federal law.

An ombudsperson is guided by a concern for and commitment to justice. Justice requires that individual interests be carefully balanced with the consideration of the good of the larger academic community. An ombudsperson's commitment to justice includes the understanding of power, identification of the use and misuse of power and authority, and recognition of the need for access to power by the members of the institution.

Other concerns also govern an ombudsperson's conduct. While it is the parties who are responsible for choosing a particular resolution, the ombudsperson attempts to guide them toward options that are fair, conform with institutional policy, and give clear indication of being in their best interest. An ombudsperson remembers, and at all times protects, the right to privacy of all parties, including the alleged offenders. An ombudsperson generally does not act on third-party complaints.

An ombudsperson has a responsibility to maintain and improve professional skills, to assist in the development of new practitioners, and to promote impartial dispute resolution in the institution.

UNIVERSITY AND COLLEGE OMBUDS ASSOCIATION



January 20, 1995

Happy New Year!

University and College Ombuds Association

1994-95 Officers

President

Dalene Hoppe
The Ohio State University
(614) 292-0307

President-Elect

Richard Hebein
Bowling Green State University
(419) 372-7154

Past President

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University of Kansas
(913) 864-4665

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The University of Western Ontario
(519) 661-3573

Andrea Briggs

University of California at Riverside
(909) 787-3213

The UCOA Board is launching several new projects which are intended to encourage and support communication among UCOA members. These initiatives include the creation of a UCOA e-mail network, a compilation of members' special ombuds-related interests or areas of expertise, and a list of UCOA members who are interested in serving as mentors (or sounding boards!) to individuals new to the field.

** The UCOA e-mail network will be used to communicate UCOA-related news to the membership. Further, it can be utilized for discussions, surveys, and ombuds-thoughts. Details about the mechanics of the system will be finalized soon.

** There may be situations that arise in ombuds work that could benefit from discussion with someone who understands the role and function of the ombudsperson and who has dealt with, studied, or simply given a lot of thought to a particular subject or concern germane to ombudsing. The purpose of the compilation is to provide our members with names and numbers of other UCOA members who are interested in and willing to talk about specific issues.

** Inquiries from fledgling ombudspeople or from schools that are considering establishing ombuds offices are frequently directed to members of the Board. The "mentor list" will facilitate contact with a broader range of UCOA members who are willing to serve as contacts in specific geographic areas or at different types of institutions.

If you are interested in participating in any or all of these projects, please complete the attached form and return it to me as soon as possible.

Peace of mind in '95,

Dalene M. Hoppe
President

YOUR NAME: _____

UCOA E-MAIL NETWORK

Yes, I would like to participate. My e-mail address is:

No, I do not wish to participate

OMBUDS-RELATED SPECIAL INTERESTS/AREAS OF EXPERTISE**

MENTOR/CONTACT LIST**

Yes, I am willing to serve as a mentor/contact

No, I do not wish to participate

**This information will be published and distributed to each UCOA member.

Please return this form to:

Dalene M. Hoppe, President
University and College Ombuds Association
The Ohio State University
464 Ohio Union
1739 North High Street
Columbus, Ohio 43210



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Dear Colleagues:

The Annual conference of the University and College Ombuds Association will be held in Chicago, Illinois from April 26 through April 29, 1995. The theme of this year's conference, which recognizes both the 10th anniversary of our organization and the 25th anniversary of our profession, is "College and University Ombudsing: Retrospective and Prospective." This theme will guide us through round table discussions, case studies, short papers, and presentations from experienced colleagues. Enclosed is a copy of our tentative program.

Our conference will be held at the newly renovated Westin Hotel. The Westin, which is located on the very exclusive Magnificent Mile in downtown Chicago, is surrounded by fabulous theaters, restaurants, shopping areas and night life. There are plenty of things to do and see in Chicago! Our conference hotel is approximately 30 minutes from Midway Airport and approximately 40 minutes from O'Hare International Airport. Detailed information regarding entertainment, weather, directions and commuter costs will be mailed with your registration confirmation. The room rates are as follows: Single/Double-\$110; Triple-\$135; Quad-\$160. (You may complete the hotel registration form enclosed in this packet).

The conference fee is \$175. This fee includes the welcome reception, two continental breakfasts, one lunch, two breaks and one dinner. The Thursday evening reception /dinner will be held at the very elegant Signature Room on the 95th floor of the John Hancock Building. Transportation to and from the University of Illinois at Chicago and a campus tour will also be included. Please have your registration form mailed to us by March 15, 1995. Conference material, as indicated on the enclosed tentative program, will be available at the registration table on the second floor lobby of the Westin Hotel.

On Wednesday, April 26, 1995, a Beginner's Workshop will be offered from 9:00 a.m. until 4:00 p.m. If you plan to attend the Beginner's Workshop, there will be an additional \$25 fee. This fee includes one continental breakfast, one lunch, one break and the new UCOA Handbook.

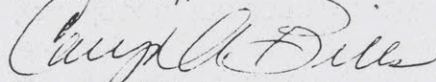
The "gift exchange" will take place on Thursday, April 27th. Traditionally, conference participants are asked to contribute a \$15 gift which is representative of their institution.

Please Note: The Nominating Committee is accepting recommendations for the offices of President-Elect, Secretary, and Member-at-Large. Nominations will be made during the annual General Business Meeting at the Chicago conference. Please send names to :

**Dr. Robert Shelton, Chair
UCOA Nominations Committee
104 Smith Hall
University of Kansas
Lawrence, KS 66045-2164
RHELTON@UKANVM**

For additional information, feel free to contact me at (312) 996-8145.

In Ombudsry,


Caryn A. Bills, Coordinator



UCOA 1995 Tentative Program

University and College Ombuds Association

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Tuesday - April 25, 1995

4:00 p.m. - 8:00 p.m.

Registration
Westin Hotel - 2nd floor lobby

Wednesday - April 26, 1995

8:00 a.m. - 9:00 p.m.

Registration
Westin Hotel - 2nd floor lobby

9:00 a.m. - 4:00 p.m.

UCOA Executive Board Meeting

9:00 a.m. - 4:00 p.m.

Beginner's Workshop

7:00 p.m. - 9:00 p.m.

Welcome Reception

Thursday - April 27, 1995

8:00 a.m. - 1:00 p.m.

Registration

8:00 a.m. - 9:00 a.m.

Continental Breakfast

9:00 a.m. - 9:15 a.m.

Welcome and Information Sharing

9:15 a.m. - 10:30 a.m.

Ingrid Gadway Clarke - Facilitator
"Historical Panel"

10:30 a.m. - 10:45 a.m.

Break & Gift Exchange

10:45 a.m. - 12:00 p.m.

Round Tables

12:15 p.m. - 1:30 p.m.

Lunch

1:30 p.m. - 3:00 p.m.

Suzanne Belson & Lucy Douville
"Case Study"

3:00 p.m. - 3:15 p.m.

Break

3:15 p.m. - 4:30 p.m.

Concurrent Sessions

6:00 p.m. - 7:00 p.m.

Cocktails
Signature Room at the John Hancock Building

7:00 p.m. - 9:00 p.m.

Reception/Dinner
Signature Room at the John Hancock Building

Guest Speaker

Dr. Ralph W. Nicholas - President, International House



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Friday - April 28, 1995

7:30 a.m.	Transportation to the University of Illinois at Chicago
8:00 a.m. - 9:00 a.m.	Continental Breakfast
9:00 a.m. - 9:30 a.m.	Chancellor James J. Stukel & Caryn Bills "Welcome Address"
9:30 - 11:00 a.m.	Mary Lou Fenili "Legal Advice for Ombuds"
11:00 a.m. - 11:15 a.m.	Break
11:15 a.m. - 12:15 p.m.	Business Meeting
12:15 p.m. - 2:00 p.m.	Lunch
2:00 p.m. - 3:30 p.m.	Howard Gadlin & Robert Shelton "Neutrality & Related Issues in Ombudsing"
3:30 p.m. - 4:00 p.m.	Break & Load Bus
4:00 p.m. - 4:45 p.m.	UIC Campus Tour
4:45 p.m. - 5:15 p.m.	Back to Westin
5:15 p.m. -	Open Evening Information regarding various events will be provided

Saturday - April 29, 1995

8:30 a.m. - 9:00 a.m.	Continental Breakfast
9:00 a.m. - 10:30 a.m.	Short Papers
10:30 a.m.	Adjourn
12:00 p.m.	Checkout



UCOA 1995 Registration Form

University and
College Ombuds
Association

Name: _____

Institution: _____

Address: _____

Phone: () _____ - _____ e-mail: _____

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	Yes	No
Are you new to the profession?	<input type="checkbox"/>	<input type="checkbox"/>
How many years have you been in the profession? _____ year(s)		
Do you have any special needs we should be aware of?	<input type="checkbox"/>	<input type="checkbox"/>
explain: _____		
Please choose one of the following entrees for the Thursday banquet:		
<input type="checkbox"/> Roast sirloin of beef; roasted garlic sauce		
<input type="checkbox"/> Sautéed chicken with orzo and roasted vegetables; roasted garlic juice		
<input type="checkbox"/> Roasted eggplant, zucchini, peppers & portabella mushrooms wrapped in phyllo with mozzarella & fontinella cheeses, vegetable coulis		

Please check the fee(s) for which you are paying:

- Registration Fee \$175.00
welcome reception
two continental breakfasts, one lunch, two breaks
Thursday evening reception/dinner at the Signature Room
transportation to & from UIC, campus tour
- Beginner's Workshop Fee \$25.00
one continental breakfast, one lunch, one break, UCOA Handbook

Total Amount: _____

Please return this form along with your payment to:
Caryn A. Bills
Office of the Ombudsperson (M/C 319)
727 University Hall
601 South Morgan Street
Chicago, IL 60607-7107

Office: (312) 996-8145 Fax: (312) 413-3635 (fax) e-mail: CCB0216@UICVMC.aiss.UIC.edu

OFFICE USE ONLY
Total Amount Enclosed: \$ _____ Date Entered: _____ / _____ / _____

Please make checks payable to: The University of Illinois at Chicago



University and
College Ombuds
Association

Dear UCOA Member,

I am pleased to have this opportunity to wish you well as the new academic year begins. Your renewed membership in UCOA will keep you involved in a growing and energetic organization of college and university ombuds professionals.

Several items of note:

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* Congratulations to UCOA's newest board members, Richard Hebein (President-Elect) and Frances Bauer (Member at Large).

The contributions by our two retiring board members, Ron Wilson and Merle Waxman, enriched and strengthened our organization. Thank you, Merle and Ron.

* UCOA's annual conference will take place at the Westin Hotel, Chicago, April 26-29, 1995. Our colleagues throughout the state of Illinois have spent months working with conference host Caryn Bills to organize what is certain to be an outstanding event. The initial conference announcement and call for papers will be mailed soon. Please mark your calendars now!

* Jim Vice and Kathy Hill, Loyola University of Chicago, have graciously assumed responsibility for publishing the UCOA Newsletter. The first '94-'95 issue will be mailed sometime in October. If you have items that would be of interest to our membership, please submit them to Jim or Kathy for publication in future editions.

* You will be receiving a new membership certificate reflecting UCOA's name change. Because there is no closing date on the document, the certificate will not be re-issued to renewing members each year.

* The conference of the California Caucus of College and University Ombuds will be held November 13-16, 1994, at beautiful Asilomar Conference Center, Pacific Grove, CA. If you have not received registration materials, contact Lisi Porter, Cal State Chico, (916) 898-6897.

Wishing you the very best,

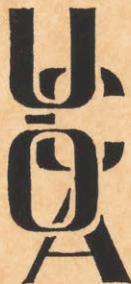
Dalene M. Hoppe
President

University & College Ombuds Association

Certifies

Mary Rowe

As A Member



on this 15th day of Sept. 19 94

Galene M. Hoppe

President

ETHICAL PRINCIPLES FOR UNIVERSITY AND COLLEGE OMBUDSMEN

An ombudsman should be guided by the following principles: objectivity, independence, accessibility, confidentiality and justice; justice is pre-eminent.

An ombudsman should hear and investigate complaints objectively. Objectivity includes impartial attention to all available perspectives on an issue and may or may not entail support of any particular perspective.

An ombudsman should act as independently as possible of all other offices and should avoid conflict of interest, external control and either the reality or appearance of being compromised.

An ombudsman should be readily accessible to all members of the constituent community, should promote timely solutions to problems and should avoid either the reality or appearance of bias toward any individual or group.

An ombudsman should treat with confidentiality all matters brought to him or her. No action should be taken on a complaint without the complainant's permission. Information retained by the ombudsman should be kept secure. However, with the verbal or written permission of the complainant, such information may be carried forward by the ombudsman.

If a complainant reports a serious problem but is unwilling to be part of any steps taken to address it, an ombudsman should try to find a way to address the problem that is acceptable to the complainant, or that does not compromise the identity of the complainant.

However, if an individual speaks about intending serious harm to himself or herself or others, or if the complainant confesses to serious misconduct or a crime, an ombudsman must use personal discretion in determining whether or not this information should be carried forward. Discretion is likewise required in regard to matters governed by state and federal law.

An ombudsman should consider that confidentiality may preclude complying with requests for information in the context of formal proceedings on or off campus or required by law.

An ombudsman should be guided by a concern for and commitment to justice. Justice requires that individual interests be carefully balanced with the consideration of the good of the larger academic community. An ombudsman's commitment to justice should include the understanding of power, identification of the use and misuse of power and authority, and recognition of the need for access to power by the members of the institution.

Other concerns should also govern an ombudsman's conduct. While it is the parties who are responsible for choosing a particular resolution, the ombudsman should attempt to guide them toward options that are fair, conform with institutional policy, and give clear indications of being in their best interest. An ombudsman should remember, and at all times protect, the right to privacy of all parties, including the alleged offenders. An ombudsman generally should not act on third-party complaints.

An ombudsman has a responsibility to maintain and improve professional skills, to assist in the development of new practitioners, and to promote impartial dispute resolution in the institution.



M. G. Simon, Ombudsperson October 4, 1994

TOA MEMBERSHIP COMMITTEE

UCOA's membership info for your
consideration.

Mary

Atts.

MV 21-3S05
1600 Osgood Street
North Andover, MA 01845
Phone: (508) 960-6490
FAX: (508) 960-1284

APPLICATION FOR MEMBERSHIP

Annual Dues: \$35 Regular Members
\$30 Associate Members

Name: _____

Position/Title: _____
Institution: _____

Description of your responsibilities: _____

—
— PLEASE
— USE OTHER
— APPLICATION
M: FORM
—
—

Telephone: () _____

FAX: () _____

E-Mail: _____

Mail your application and a check payable to
UCOA to:

Anita Madrid
UCOA Treasurer
University of California, Berkeley
Staff Ombuds Office
2539 Channing Way
Berkeley, CA 94720

Members of UCOA have the opportunity:

- * to maximize their effectiveness by sharing with and learning from colleagues throughout the country and overseas;
- * to increase awareness and recognition of the benefits of having an ombuds office;
- * to participate in projects and activities that are pertinent to their needs and interests;
- * receive UCOA publications and resource materials;
- * to attend the Annual University and College Ombuds Association Conference;
- * to contribute to the effectiveness of UCOA by taking an active role in its growth, development and governance.

Membership categories:

Regular Membership is open to all individuals who are practicing ombuds professionals in institutions of higher education.

Associate Membership (non-voting) is open to individuals who are ombuds professionals affiliated with other than academic institutions and individuals interested in the profession.



University and
College Ombuds
Association

UCOA

The University and College Ombuds Association

is an international organization of persons who perform the ombuds function in universities and colleges, and individuals affiliated with institutes of higher learning who are interested in the ombuds practice.

UCOA's mission is:

- * to encourage communication between ombuds professionals at universities and colleges throughout the world;
- * to encourage the professional development of university and college ombuds professionals;
- * to assist existing university/college ombuds offices and organizations throughout the United States and abroad in improving their operations;
- * to promote the establishment of ombuds offices in post-secondary institutions and assist in establishing such offices;
- * to foster cooperation and exchange with other ombuds organizations in the public and private sectors and with organizations of dispute resolution professionals.

This is achieved through:

meetings and seminars, the development of educational materials, collection and dissemination of information and statistical data on university/college ombuds offices; publication of newsletters; liaison with related professional groups, and procurement of funds to support these activities.

The Ombuds office in a university or college is an independent, confidential, impartial resource, designated:

- * to help individuals to function effectively within the university/college system;
- * to assist in the resolution of issues of concern or dissatisfaction regarding the rights of members of the campus community;
- * to help the campus community to understand and function effectively within the policies and procedures of the university/college;
- * to help the university/college recognize problems, issues and trends, and deal proactively with them, and evolve more effective policies and procedures.

The Ombuds office benefits the university/ college and its members by:

- * actively representing the institution's commitment to fairness in its dealings with all members of the campus community;
- * providing a neutral, informed and concerned resource for resolving conflicts;
- * preventing issues from escalating into major problems that may effect the retention of qualified students and personnel;
- * assisting with the development, and implementation of policies and procedures that equitably address the rights and responsibilities of all members of the campus community.

An effective ombuds professional must have:

- * conviction that the university system works best when honoring the rights and responsibilities of each member of the campus community;
- * the ability to work with all segments of that community;
- * knowledge of the policies, procedures and ways in which the institution functions;
- * skills in listening carefully, investigating thoroughly, counseling justly and sensitively, speaking and writing effectively;
- * creativity in developing resolutions that are fundamentally fair to all.



University and
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1994-95 UCOA MEMBERSHIP

The University and College Ombuds Association is an international organization of persons who perform the ombuds function in universities and colleges and individuals affiliated with institutes of higher learning who are interested in the ombuds practice. Regular membership is open to all individuals who are practicing ombuds professionals in institutions of higher education. Associate membership is open to all who are interested in the practice of ombudsing. An ombuds practitioner is defined as one who has:

1. the responsibility to assess grievances and conflicts and to attempt to resolve them through available institutional channels or by mediation;
2. access, in the performance of duties, to members of the university community and to university records;
3. the prerogative to recommend corrective action at any institutional level and where necessary;
4. authority to issue public reports concerning findings and recommendations; and,
5. the obligation to maintain a standard of neutrality and confidentiality.

Membership entitles the member to participate in UCOA meetings and activities, to receive UCOA publications, and to use UCOA informational resources. Only regular members have voting rights. Applications for membership shall be reviewed and approved by the UCOA Board of Officers.

APPLICATION FOR UCOA MEMBERSHIP

UCOA membership annual dues: Regular Member: \$ 35.00 ; Associate Member: \$ 30.00
 Please check if you are a: Renewing Member New Member Associate Member

If NEW, whom are you replacing : _____)

Please provide the information requested below.

Name _____ JobTitle _____

Dept./Bldg./Room# _____

Institution _____

City/State/ZIP _____

Phone #(____) _____ FAX# _____ E-Mail _____

If you are a new member please provide a description of your responsibilities:

Mail your check (U.S. currency) payable to : UCOA
 c/o Anita Madrid, Treasurer
 Staff Ombuds Office
 2539 Channing Way # 7
 University of California
 Berkeley, CA 94720-5140