

APPENDIX A

Terms of Reference for The Office of the University Ombudsperson (2001)

Status/Authority

1. The Ombudsperson is appointed by the Governing Council on the recommendation of the President; is accountable to the Governing Council and has unrestricted access to all University authorities. The Office of the Ombudsperson shall be independent of all existing administrative structures of the University.

Mandate

2. The Ombudsperson investigates, in an impartial fashion, complaints that may arise against the University or against anyone in the University exercising authority. It shall be the special concern of the Ombudsperson that:
 - a. the rights and responsibilities of members of the University community are adequately defined and publicized;
 - b. any gaps and inadequacies in existing University policies and procedures that affect the ability of individuals to function as members of the University community or which might jeopardize their human rights and civil liberties be brought to the attention of the proper authority;
 - c. the problems of members of the University community are addressed with reasonable promptness;
 - d. procedures used to reach decisions are adequate and that the criteria and rules on which the decisions in question are based are appropriate and adequately publicized.

Investigations

3. Complaints may be made by any member of the University community (students and members of the teaching or administrative staffs) or by former members of the teaching or administrative staffs or student body (in respect of matters arising out of their former University employment or student status). Investigations may also begin on the independent initiative of the Ombudsperson in respect of anyone of the above entitled to make a complaint.
4. The Ombudsperson may decline to initiate an investigation on the grounds that it is frivolous or vexatious.
5. In conducting investigations, the Ombudsperson shall act in an impartial fashion.
6. The role of the Ombudsperson shall include:

- a. ensuring that information on proper University procedures for problem resolution is provided and distributed as broadly as possible throughout the University community, and that clients understand their routes of access to this information;
 - b. informing clients about appropriate processes available to them within the context of specific complaints, and providing information on the appropriate kind of supporting documentation;
 - c. expediting the process toward conflict resolution;
 - d. investigating only after attempts at resolution through existing administrative channels have been concluded.
7. Even though wide latitude has been granted in making public any findings and recommendations, the Ombudsperson shall not set aside the request of complainants that their anonymity be preserved.

Findings/Reports

8. After conducting an investigation, the Ombudsperson may draw conclusions about the complaint investigated and make findings and recommendations concerning its resolution, particularly in relation to the mandate of the Office as set out in 2 above.
9. In drawing conclusions and making recommendations, the Ombudsperson shall not make University policy or replace established legislative, judicial or administrative rules or procedures, although any or all of these may be investigated or questioned and such recommendations made as appropriate for their improvement and efficient functioning.
10. The Ombudsperson shall bring findings and recommendations to the attention of those in authority by the most expeditious means possible, and to the University community at large to the extent that is appropriate.
11. The Ombudsperson shall make an annual report to the University community through the Governing Council, and such other special reports as may be required from time to time by the Governing Council.

Relationship with Other University Activities and Services

12. The Ombudsperson shall have access to such official files and information as is required to fulfill the function of the Office. Requests by the Ombudsperson for information must receive priority from every member of the University community.

13. Where means exist in other University offices for the resolution of complaints or the provision of information the Ombudsperson shall direct enquirers to such offices and emphasize their responsibility for initiating the appropriate actions and for returning to the Ombudsperson if not satisfied with the results. The Ombudsperson shall cooperate with other offices that are particularly concerned with the provision of information to the University community on policies and procedures.

Files

14. The Ombudsperson shall maintain suitable records of complaints, findings and recommendations and these shall be accessible only to the Ombudsperson and members of the staff of the Office of the Ombudsperson.
15. Each file and record will be maintained for a period of seven years and one day from the date on which the Ombudsperson deems the case to be completed. At the end of the period of seven years and one day, the file or record may be destroyed; however, no destruction of the file or record will take place while any proceedings are pending in the University, the Courts or any outside tribunal and until after all rights of appeal are exhausted or times of appeal have expired.
16. The Ombudsperson shall not release any information regarding personal and personnel records, unless written permission has been received from the affected persons for releasing the information.

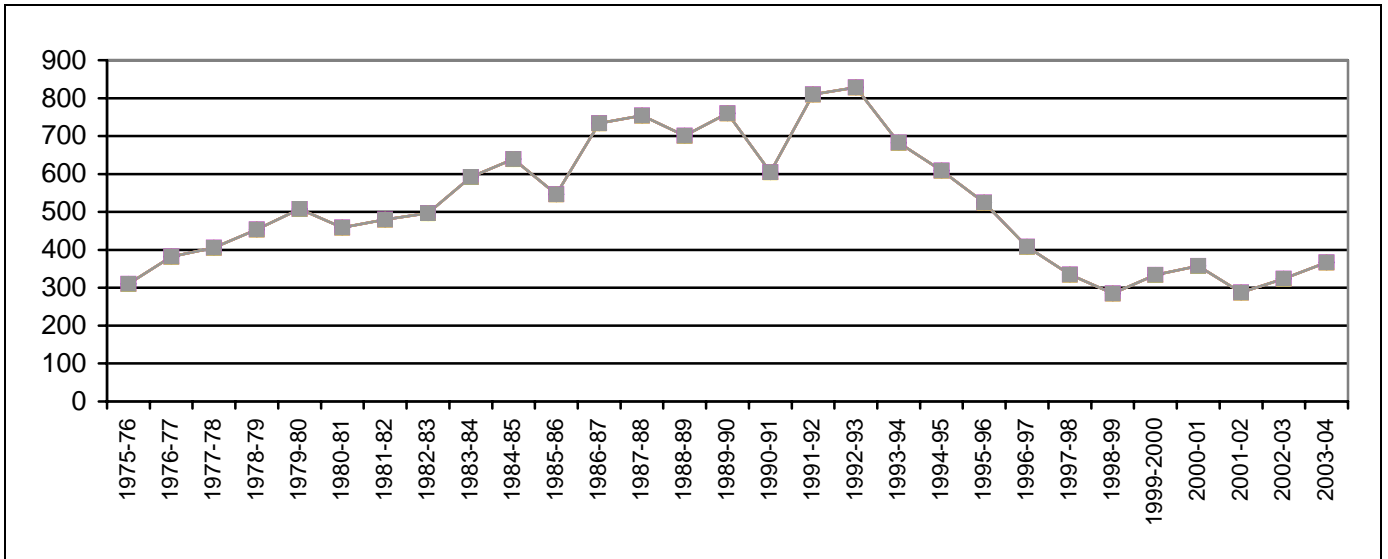
Review/Appointment

17. The Office of the Ombudsperson shall be reviewed on a regular basis, in the middle of the incumbent's term as well as coincident with the end of the incumbent's term, in a manner to be determined by the Executive Committee of the Governing Council. The normal term of the Ombudsperson should be for five years, with the possibility of reappointment. Candidates for the Office shall be identified by a search committee highly representative of the University community and including students and members of the teaching and administrative staff.

May 31, 2001

**APPENDIX B
TABLE AND GRAPH
NUMBER OF CASES BY YEAR**

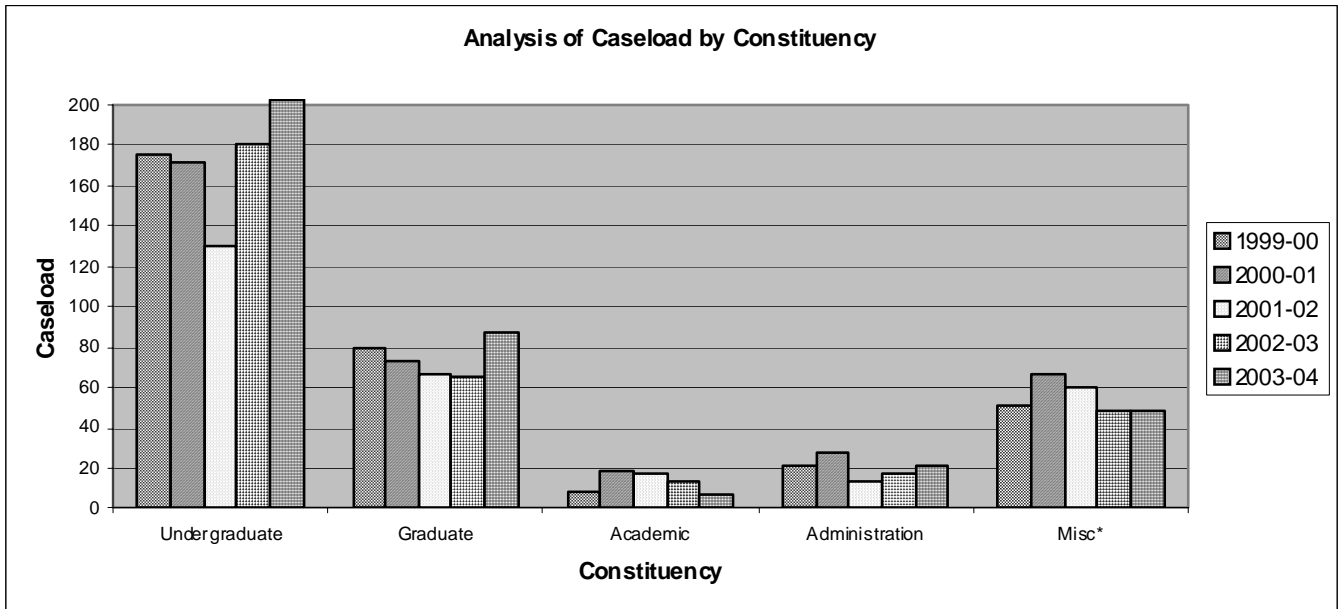
Year	Number of Cases	Year	Number of Cases
1975-76	310	1990-91	605 (9 months)
1976-77	382	1991-92	810 (12 months)
1977-78	406	1992-93	828
1978-79	454	1993-94	682
1979-80	508	1994-95	609
1980-81	459	1995-96	525
1981-82	480	1996-97	408
1982-83	497	1997-98	335
1983-84	592	1998-99	285
1984-85	639	1999-00	334
1985-86	547	2000-01	358
1986-87	734	2001-02	288
1987-88	754	2002-03	324
1988-89	701	2003-04	367
1989-90	760		



APPENDIX C
ANALYSIS OF CASELOAD BY CONSTITUENCY

	Undergrad	Grad	Academic	Admin	Misc*	Total
1999-00	175 (52%)	79 (24%)	8 (2%)	21 (6%)	51 (15%)	334 (100%)
2000-01	172 (48%)	73 (20%)	18 (5%)	28 (8%)	67 (19%)	358 (100%)
2001-02	130 (45%)	67 (23%)	17 (6%)	14 (5%)	60 (21%)	288 (100%)
2002-03	180 (56%)	65 (20%)	13 (4%)	17 (5%)	49 (15%)	324 (100%)
2003-04	203 (55%)	87 (24%)	7 (2%)	21 (6%)	49 (13%)	367 (100%)

* Includes continuing education students, former employees and students, parents of students, applicants for admission, alumni, organizations and others.



APPENDIX D
ACCESSIBILITY MEASURES
JULY 1, 2003 TO JUNE 30, 2004
TOTAL CASES: 367

Count of % Time Students

% Time	<u>Count of Cases</u>
Full Time	259
Part Time	32

32 Part Time Students = 9% of total caseload
= 11% of student caseload

Count of Cases by Campus

<u>Campus</u>	<u>Count of Cases</u>
Mississauga	38
Scarborough	24

Total Mississauga & Scarborough = 62
= 17% of total caseload
= 21% of student caseload

Count by Initial Contact

<u>Initial Contact By:</u>	<u>% of Clients</u>
Telephone	55%
E-Mail	34%
Walk-In	9%
Letter/Fax	2%
Total	100%

APPENDIX E
ANALYSIS OF CASELOAD BY ACTION TAKEN & STAFF RESOURCES

Year	Information/Referral	Expedited	Resolved	No Action Required	No Jurisdiction	Incomplete	Total	Staff (FTE) Resources
1999-00	189 (57%)	37 (11%)	33 (10%)	40 (12%)	26 (8%)	9 (3%)	334 (100%)	1.05
2000-01	199 (56%)	39 (11%)	27 (8%)	53 (15%)	28 (8%)	12 (2%)	358 (100%)	1.1
2001-02	136 (46%)	28 (10%)	37 (13%)	39 (14%)	37 (13%)	11 (4%)	288 (100%)	1.5
2002-03	173 (53%)	33 (10%)	46 (14%)	43 (13%)	23 (7%)	6 (2%)	324 (100%)	1.5
2003-04	201 (55%)	24 (7%)	60 (16%)	47 (13%)	26 (7%)	9 (2%)	367 (100%)	1.5

Information (Consultation/Advice/or Referral) Advising and informing members of the University about the means available to them to resolve whatever concern or difficulty they have.

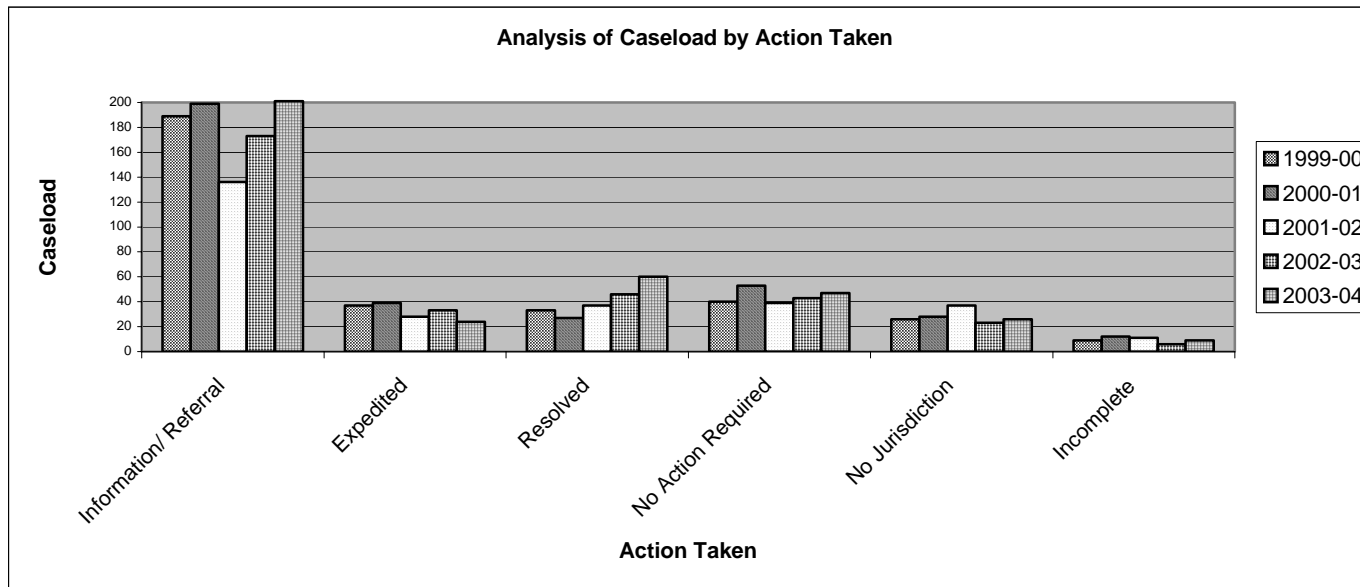
Expedited Resolution of relatively simple “red-tape” problems, such as arranging an exception to a rule in a particular case, speeding up consideration of a routine matter, securing an explanation of a decision, arranging a meeting with the appropriate official, or unsnarling difficulties which occurred when an item fell between two jurisdictions, etc.

Resolved A concern was settled more or less to the satisfaction of both the complainant and the respondent official or department, usually through a reversal of the original decision, a compromise, or an agreement that, in light of new or clarified information, no concern existed.

No Action Required A case was drawn to the attention of the Office, but no action of either an informational or investigative nature was ever required.

No Jurisdiction Inquiries from non-University members and/or the object of the “request for assistance” was outside the jurisdiction of the Governing Council. These cases frequently warrant some assistance from the office (ie. information, referral, and occasionally research in order to provide such assistance).

Incomplete (Ongoing) No conclusion had been reached as of July 14, 2004.



APPENDIX F
TABLE 1
STUDENT CASELOAD BY ISSUE
JULY 1, 2003 TO JUNE 30, 2004
(FOR 283 CASES CLOSED BY JULY 14, 2004)

Type of Issue*	Total (U &G)	U	G
1. Policy Interpretation/Advice	129 (46%)	88	41
2. Academic Concerns (eg. Classes/Teaching)	97 (34%)	71	26
3. Academic Policy/Procedure (eg. Petition Denials)	49 (17%)	38	11
4. Administrative Policy/Procedure (eg. Access/Bureaucracy Issues)	59 (21%)	45	14
5. Grading Dispute/Concern	45 (16%)	34	11
6. Fees/Financial Aid	49 (17%)	25	24
7. Interpersonal Dispute (eg. Supervision)	22 (8%)	2	20
8. Concern re Harassment or Discrimination	24 (8%)	17	7
9. Accused of Policy/Legal Violation (Codes)	27 (10%)	24	3
10. Admissions	10 (4%)	4	6
11. Miscellaneous	31 (11%)	18	13
12. Residence/Housing	19 (7%)	14	5
13. Library Issues (book returns, fines)	2 (.8%)	2	0
14. Employment/Workplace Dispute	6 (2%)	4	2

# Issues per Case	U (202)	G (81)
1	76 (38%)	21 (26%)
2	81 (40%)	30 (37%)
3	36 (18%)	20 (25%)
4	6 (3%)	8 (10%)
5	2 (1%)	2 (2%)
6	1 (.05%)	0

U=Undergraduate G=Graduate

***Type of Issue**

(Courtesy of University and College Ombuds Association Handbook)

1. **Policy Interpretation/Advice**
2. **Academic Concerns:** Complaints related to classes and teaching (eg. teaching methods, instructor's behaviour, etc.).
3. **Academic Policy/Procedure:** Complaints about existing policies or procedures (eg. petition denials, transfer/transfer credits, readmission or probationary policies/procedures).
4. **Administrative Policy/Procedure:** Complaints about problems dealing with the bureaucracy (eg. issues re: access, timeliness).
5. **Grading Dispute/Concern:** Disputes or concerns about the fairness of an individual grade or grading procedure.
6. **Fees/Financial Aid**
7. **Interpersonal Dispute:** Disputes between individuals over non-employment or non-workplace issues including graduate supervision issues.
8. **Concern re Harassment or Discrimination:** Non-sexual harassment complaints.
9. **Accused of Policy/Legal Violation (Codes):** Individuals accused of violating the Code of Student Conduct, Code of Behaviour on Academic Matters, residence disciplinary codes, Conflict of Interest Policy, etc.
10. **Admissions**
11. **Miscellaneous**
12. **Residence/Housing**
13. **Library Issues** (book returns, fines)
14. **Employment/Workplace Dispute:** Workplace disputes (eg. disputes between colleagues, supervisor-supervisee disputes, evaluation, discipline or corrective action issues).

APPENDIX F
TABLE 2
CASELOAD BY ASSISTANCE PROVIDED
JULY 1, 2003 TO JUNE 30, 2004
(FOR 358 CASES CLOSED BY JULY 14, 2004)

Type of Intervention/Resolution/Assistance*	Total		U	G	A	N	M
1. Individual Consultations	212	<i>59%</i>	126	55	5	12	14
2. Mediation/Facilitation	26	<i>7%</i>	18	5	1	2	-
3. Department/Unit Consultation Request	19	<i>5%</i>	13	6	-	-	-
4. Ombuds Contacted Persons/Offices	93	<i>26%</i>	58	26	2	2	5
5. Reporting Trends	13	<i>4%</i>	10	2	-	-	1
6. Information/Referral	303	<i>85%</i>	166	69	6	18	44
7. None (No Show/Cancellation)	43	<i>12%</i>	28	9	1	-	5

Number of Interventions	U (202)	G (81)	A (7)	N (19)	M (49)
0-1	66	22	1	8	33
2	88	38	5	9	13
3	26	14	-	-	2
4	12	4	1	2	1
5	9	2	-	-	-
6	1	1	-	-	-

U=Undergraduate
G=Graduate
A=Academic
N=Administrative
M=Miscellaneous

***Type of Intervention/Resolution/Assistance**

(Courtesy of University and College Ombuds Association Handbook)

Note: More than one intervention/resolution/assistance involved in more complex situations, and/or when more than one issue identified.

1. **Individual Consultation:** Meetings (generally more than one meeting per case necessitated by more complex issues) to discuss issues and options.
2. **Mediation/Facilitation:** Assisting two (or more) parties in resolving a dispute.
3. **Department/Unit Consultation Request:** In seeking resolution, the Ombuds contacted multiple people within a department or unit .
4. **Ombuds Contacted Persons/Offices:** Ombuds contacted an individual(s) with whom a complainant had concerns to gather information/facts related to complaint.
5. **Reporting Trends:** Meeting with an administrator to report trends related to her/his area of responsibility.
6. **Information/Referral:** Provided referral information to additional resources for counselling/advice
7. **None (No Show/Cancellation):** Individual did not call back or keep appointment.

APPENDIX G

University's Policy/Procedural/Administrative Initiatives that Address the University Ombudsperson's Recommendations

1. Initiatives related to Undergraduate/Professional Faculty Students

- *Policy on Student Financial Support* (1998)
- “Student Rights & Responsibilities” publications related to academic honesty, student conduct and grade appeals/petitions (2000)
- Review and revision of the *Code of Student Conduct* (2002)
- Increased resources for recruitment and training of academic, financial and personal counseling personnel across the three campuses
- Recruitment of legal counsel to provide support centrally and to the Divisions to improve practices as they relate to fair and consistent implementation of the University's *Guideline for Academic Appeals Within Divisions* and *Code of Behaviour on Academic Matters* and the development and implementation of support materials and workshops (2002/03)
- Review and revision of the *Guidelines for the Use of Information Technology* (2004)

2. Initiatives related to Graduate Students

- *Intellectual Property Guidelines for Graduate Students and Supervisors* (1999)
- Guaranteed level of financial support for doctoral-stream graduate students (2001)
- Proactive monitoring by SGS of supervisory data and satisfactory graduate student progress in terms of graduate students' supervisory committee meetings and supervisory committee annual reports (2001/ongoing)
- Implementation of graduate student surveys designed to help address the issues of graduate student attrition, time-to-completion and satisfaction with their academic experience (2001/02 ongoing)
- *Policy for Post-Doctoral Fellows* (2002)
- *Graduate Supervision Guidelines* (2002/03)
- *Graduate Department Academic Appeals Committee Guidelines* (2002/03)
- Appointment of a Post-Doctoral Coordinating Office/r at SGS (2003)
- Expanded resource allocation for the English Language and Writing Support Program (2004)

3. Other Initiatives

- *Policies for Confidentials* and *Policies for Professionals/Managers* clarifies grievance processes (2001)
- Office of Teaching Advancement established at St. George campus (2002)
- Revised *Guidelines for Developing Written Assessments of Effectiveness of Teaching in Promotion and Tenure Decisions* (2002)
- Revised *Policy, Procedures and Terms and Conditions of Appointment for Research Associates (Limited Term) and Senior Research Associates* (2003)