

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
ACCESSIBILITY MEASURES
JULY 1, 2002 TO JUNE 30, 2003
TOTAL CASES: 324

Count of % Time Students

% Time	Count of Cases
Full Time	244
Part Time	20

20 Part Time Students = 6% of total caseload
 = 8% of student caseload

Count of Cases by Campus

Campus	Count of Cases
Mississauga	33
Scarborough	26

Total Mississauga & Scarborough = 59
 = 18% of total caseload
 = 23% of student caseload

Count by Initial Contact

Initial Contact By:	% of Clients
Telephone	55%
E-Mail	31%
Walk-In	9%
Letter/Fax	5%
Total	100%

APPENDIX C

TEXT FOR PRINT RESOURCES

POSTERS

“UNIVERSITY OF TORONTO OMBUDSPERSON

Confidential advice and assistance with complaints unresolved through regular University channels is available to students, faculty and administrative staff of the three UofT campuses. For more information, visit our website at www.utoronto.ca/ombudsperson. To make an appointment, call us at 416-946-3485 or e-mail us at ombuds.person@utoronto.ca”

BOOKMARKS

(Front)

“UNIVERSITY OF TORONTO OMBUDSPERSON

Since 1975, the Office of the Ombudsperson has been offering confidential advice and assistance to U of T students, staff and faculty with complaints unresolved through regular University channels.

Impartial – The Ombudsperson is an advocate for equity and fairness rather than for any person or party.

Confidential – All matters are dealt with in strict confidence unless the individual approves otherwise.

Accessible – Complaints may be made by any U of T student, faculty or staff.

Independent – The Ombudsperson is independent from all existing administrative structures and accountable only to the Governing Council. The Office has no authority to make decisions on behalf of the institution and maintains no official university records.”

(Back)

“UNIVERSITY OF TORONTO OMBUDSPERSON...

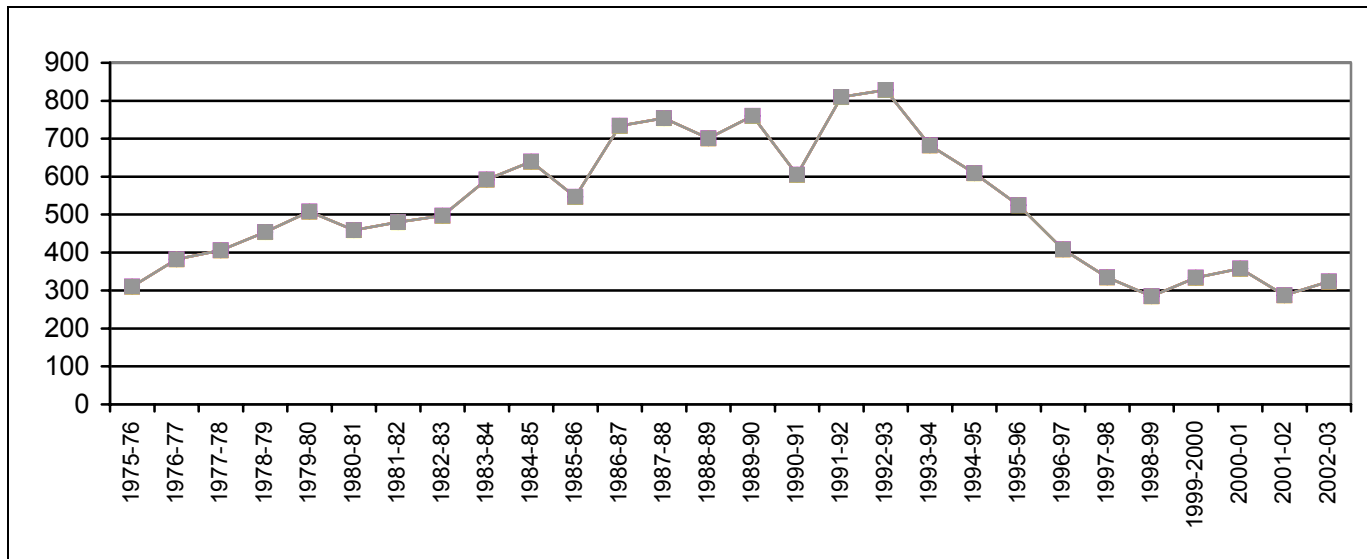
- Facilitates communication between parties
- Has the power to review and recommend
- Serves all students, staff and faculty at U of T and ensures fairness and confidentiality
- Maintains independence, objectivity, and neutrality
- Is accountable to the Governing Council and provides feedback about the Office’s activities in an annual report to the Governing Council and the campus community
- Has the mandate to preserve the right of all members of the U of T community to receive answers to concerns and to be referred to services.

For more information visit our website at www.utoronto.ca/ombudsperson or contact us at The Fields Institute Building, 222 College Street, Suite 161, Toronto, Ontario M5T 3J1, Telephone 416-946-3485, Fax 416-978-3439, E-mail ombuds.person@utoronto.ca.

Member of the Association of Canadian College and University Ombudspersons”

APPENDIX D
TABLE AND GRAPH
NUMBER OF CASES BY YEAR

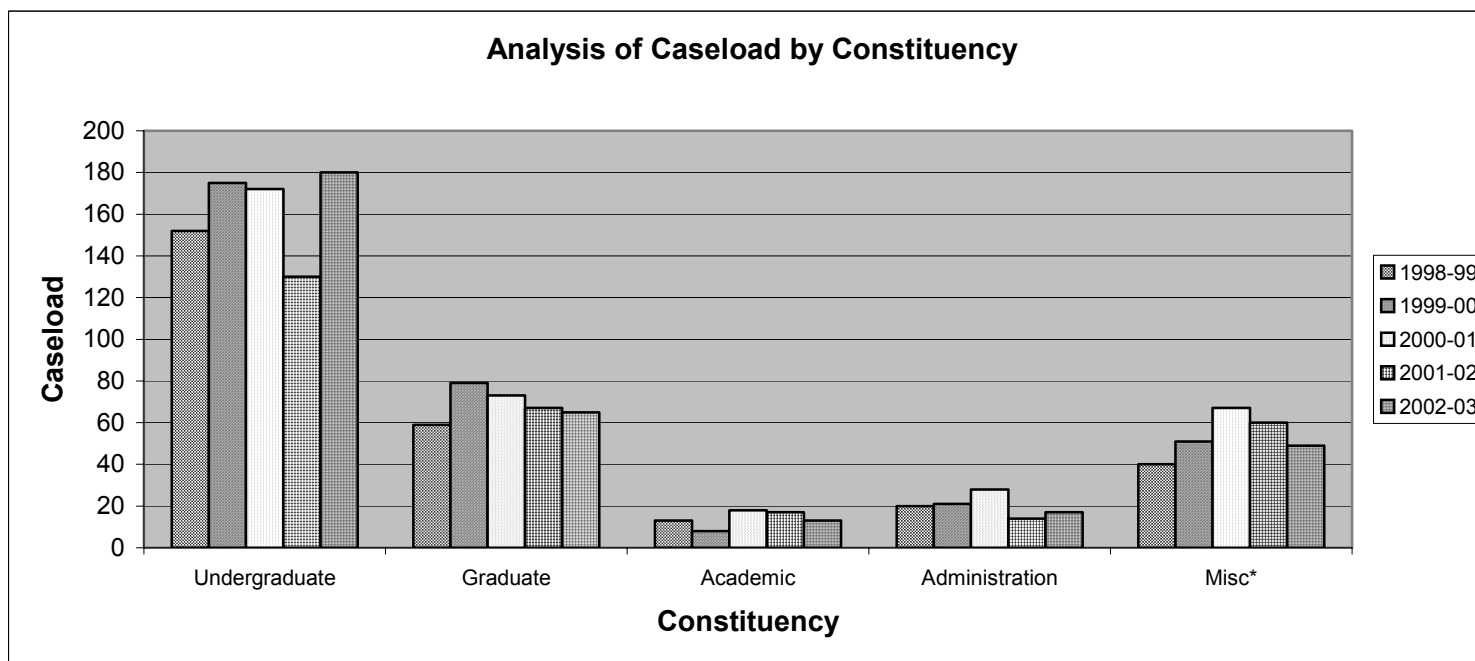
Year	Number of Cases	Year	Number of Cases
1975-76	310	1989-90	760
1976-77	382	1990-91	605 (9 months)
1977-78	406	1991-92	810 (12 months)
1978-79	454	1992-93	828
1979-80	508	1993-94	682
1980-81	459	1994-95	609
1981-82	480	1995-96	525
1982-83	497	1996-97	408
1983-84	592	1997-98	335
1984-85	639	1998-99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



APPENDIX E **ANALYSIS OF CASELOAD BY CONSTITUENCY**

	Undergrad	Grad	Academic	Admin	Misc*	Total
1998-99	152 (54%)	59 (21%)	13 (5%)	20 (7%)	40 (14%)	284 (100%)
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%)

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



APPENDIX F

ANALYSIS OF CASELOAD BY ACTION TAKEN & STAFF RESOURCES

Year	Information/ Referral	Expedited	Resolved	No Action Required	No Jurisdiction	Incomplete	Total	Staff (FTE) Resources
1998-99	179(63%)	24(8%)	21(7%)	32(11%)	20(7%)	8(3%)	284(100%)	1.3
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

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

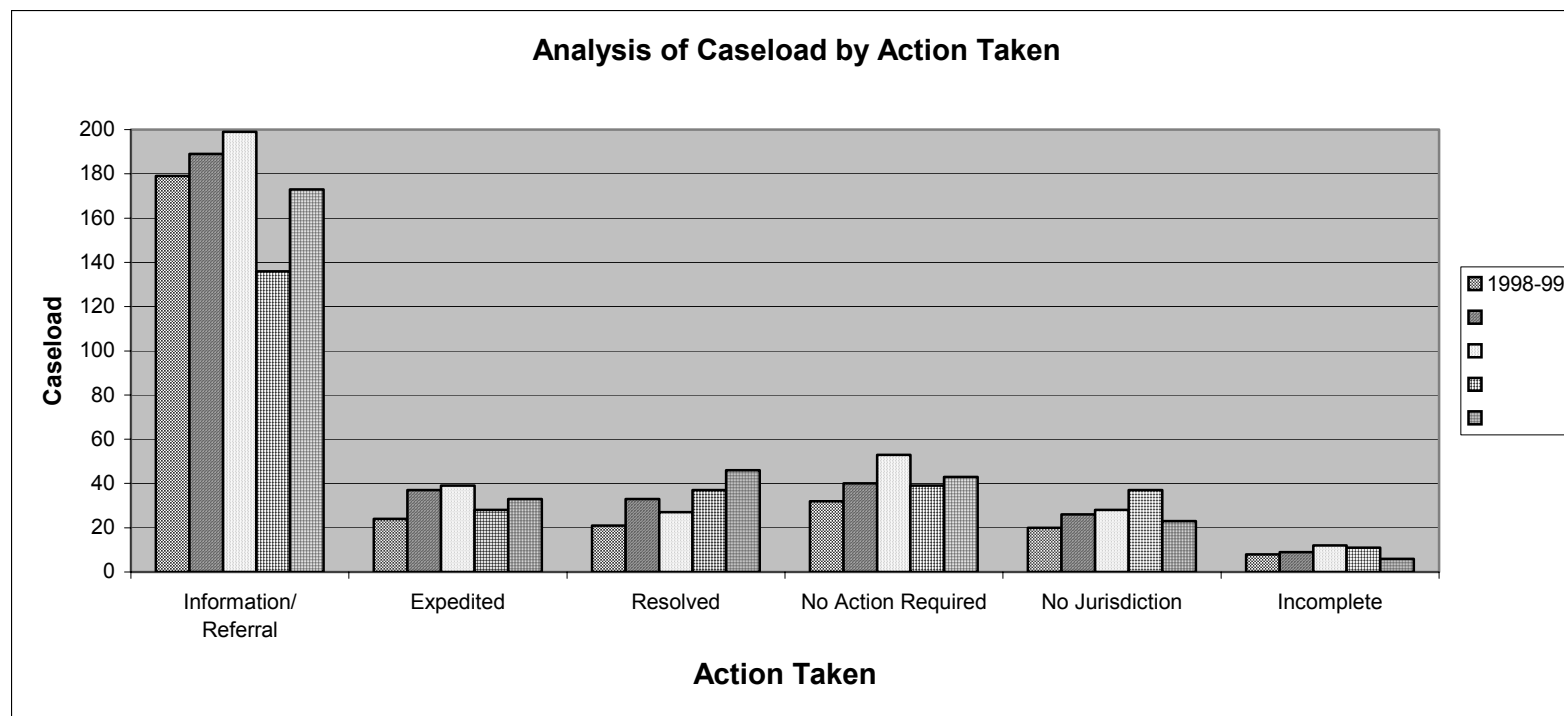
Expedited Resolution of relatively simple “red-tape” problems, such as arranging an exception to a rule in a particular case, speeding up consideration of a routine matter, securing an explanation of a decision, arranging a meeting with the appropriate official, or unsnarling difficulties which occurred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

Resolved A grievance 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 grievance 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, 2003.



APPENDIX G
TABLE 1
STUDENT CASELOAD BY ISSUE
JULY 1, 2002 TO JUNE 30, 2003
(FOR 240 CASES CLOSED BY JULY 14, 2003)

Type of Issue*	Total (U &G)	U	G
1. Policy Interpretation/Advice	79 (33%)	52	27
2. Academic Concerns (eg. Classes/Teaching)	70 (29%)	60	10
3. Academic Policy/Procedure (eg. Petition Denials)	52 (22%)	39	13
4. Administrative Policy/Procedure (eg. Access/Bureaucracy Issues)	43 (18%)	37	6
5. Grading Dispute/Concern	33 (14%)	24	9
6. Fees/Financial Aid	28 (12%)	19	9
7. Interpersonal Dispute	23 (10%)	7	16
8. Concern re Harassment or Discrimination	19 (8%)	13	6
9. Accused of Policy/Legal Violation (Codes)	19 (8%)	15	4
10. Admissions	17 (7%)	10	7
11. Miscellaneous	14 (6%)	10	4
12. Residence/Housing	11 (5%)	7	4
13. Library Issues (book returns, fines)	4 (2%)	3	1
14. Employment/Workplace Dispute	3 (1%)	1	2

# Issues per Case	U (178)	G (62)
1	80 (45%)	20 (32%)
2	82 (46%)	29 (47%)
3	13 (7%)	12 (19%)
4	2 (1%)	1 (2%)
6	1 (1%)	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 G
TABLE 2
CASELOAD BY ASSISTANCE PROVIDED
JULY 1, 2002 TO JUNE 30, 2003
(FOR 318 CASES CLOSED BY JULY 14, 2003)

Type of Intervention/Resolution/Assistance*	Total		U	G	A	N	M
1. Individual Consultations	187	59%	108	46	11	9	13
2. Mediation/Facilitation	52	16%	36	10	2	3	1
3. Department/Unit Consultation Request	16	5%	11	4	0	1	0
4. Ombuds Contacted Persons/Offices	96	30%	66	20	1	4	5
5. Reporting Trends	8	3%	5	2	0	1	0
6. Information/Referral	239	75%	135	53	9	12	30
7. None (No Show/Cancellation)	42	13%	23	3	1	3	12

Number of Interventions	U (178)	G (62)	A (13)	N (16)	M (49)
0-1	54	16	4	7	38
2	67	31	7	5	9
3	37	3	2	2	2
4	14	10	0	1	0
5	6	1	0	0	0
6	0	1	0	1	0

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.

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

APPENDIX H
Statement of Institutional Purpose (October 15, 1992)

... **“PURPOSE OF THE UNIVERSITY**

The University of Toronto is dedicated to fostering an academic community in which the learning and scholarship of every member may flourish, with vigilant protection for individual human rights, and a resolute commitment to the principles of equal opportunity, equity and justice.” ...

... **“THE UNIVERSITY COMMUNITY**

The University of Toronto believes that it best serves Canada and the wider world by pursuing to the limit of its abilities its fundamental mandates of research and teaching in the spirit of academic freedom. In seeking to achieve the above objectives, the University of Toronto is committed to four principles:

1. Respect for intellectual integrity, freedom of enquiry and rational discussion;
2. Promotion of equity and justice within the University and recognition of the diversity of the University community;
3. A collegial form of governance;
4. Fiscal responsibility and accountability.

The University values its graduates as life-long members of the University community who make significant contributions to its on-going life and reputation.

The University recognizes that in the foreseeable future the majority of its funding will come from public sources, and thanks the people of Ontario and of Canada for this support.”

Statement on Human Rights (June 25, 1992)

“Acknowledging its fundamental and distinctive commitment to freedom of thought, inquiry, and expression, the University of Toronto affirms its commitment to the values of equal opportunity, equity and social justice. In this affirmation, the University

- acknowledges that it conducts its teaching, research and other activities in the context of a richly diverse society;
- recognizes that the attainment of excellence in pursuit of its mission is furthered by the contribution made by persons reflecting this rich diversity;
- acts within its purview to prevent or remedy discrimination or harassment on the basis of race, gender, sexual orientation, age, disability, ancestry, place of origin, colour, ethnic origin, citizenship, creed, marital status, family status, receipt of public assistance or record of offence;
- acts conscientiously in keeping with its own policies and existing legislation related to human rights, such as its *Code of Behaviour on Academic Matters*, its *Policies and Procedures: Sexual Harassment*, its *Employment Equity Policy* and the *Human Rights Code of the Province of Ontario*.”

APPENDIX I
CASE MANAGEMENT: ACCESSIBILITY & RESPONSIVENESS
JULY 1, 2002 TO JUNE 30, 2003
TOTAL CASES: 324

Time to Initial Ombuds Office Response	% of Clients
Within 3 hours	60%
Later same day	10%
Following day	20%
2-3 days	3%
4-7 days	1%
Other (longer than 7 days)	2%
N/A*	4%
Total (324 clients)	100%

Time to First Appointment	% of Clients
Same day	29%
Next day	12%
2-3 days	26%
4-7 days	22%
Other (longer than 7 days)	11%
Total (191 scheduled appointments)	100%

Time to Resolution	# of Clients
One day	21%
2-3 days	14%
4-7 days	15%
8-14 days	14%
15-31 days	18%
Other (longer than 1 month)	18%
Total (office active/involved in 318 cases)	100%

*e.g. office copied on correspondence directed to other University Offices;
complaint withdrawn; anonymous with no return telephone number.

APPENDIX J
OFFICE OF THE UNIVERSITY OMBUDSPERSON
SERVICE EVALUATION FORM

We encourage each visitor to our Office to provide an anonymous assessment of our service to the University community.

We find it the most helpful for evaluation purposes if visitors take the time to let us know how, exactly, our actions and comments helped or hindered the resolution of the concern/complaint/request for information that you have brought to our attention.

We are particularly interested in any comments you might have related to the following:

- **Office's Automated Telephone Information Service (416-978-4874):**

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- **Office's Web Site (www.utoronto.ca/ombudsperson):**

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- **Office Space/Location/Set-up:**

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- **'Intake' Activity:**

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- **Response of Staff/Ombudsperson:**

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- **Additional Comments (eg. how did you hear about the Ombudsperson/source of referral?):**

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Thank you for taking the time to assist us with our service assessment of the Office of the University Ombudsperson.