

**CHARTER FOR OFFICE OF RESOLUTION
MANAGEMENT'S OMBUDSMAN**

ARTICLE I. Purpose: The Deputy Assistant Secretary for Resolution Management (DAS/RM) establishes the Ombudsman in the Office of Resolution Management (ORM) to:

- A. Provide an effective means for any and all ORM employees to voluntarily bring matters concerning the workplace to a neutral third party within ORM;
- B. Facilitate recognition, prevention and resolution of workplace disputes without resorting to formal means of dispute resolution;
- C. Provide access for any and all employees to ORM management for raising questions and concerns regarding ORM workplace issues or processes;
- D. Provide anonymity to any ORM employee wishing to raise a workplace issue; and
- E. Facilitate review of ORM processes or procedures which may adversely affect ORM's mission, workplace, or employee morale.

ARTICLE II. Principles: The ORM Ombudsman shall:

- A. Remain neutral in any matter within the Ombudsman's purview and shall avoid taking, or appearing to take, sides in any dispute, conflict or disagreement;
- B. Remain free from the control or interference of any ORM employee in carrying out the Ombudsman's duties;
- C. Encourage open and effective communications between and among all ORM managers and employees to discuss and resolve issues affecting ORM;
- D. Maintain the confidentiality of dispute resolution communications made by employees, including managers and supervisors, unless the party making the disclosure consents to disclosure or as required by law; and
- E. Maintain informality in his/her duties to the extent possible.

ARTICLE III. Responsibilities: The ORM Ombudsman shall:

- A. Report directly to the DAS/RM, who shall be solely responsible for the Ombudsman's activities;

- B. Educate all ORM employees concerning the Ombudsman's activities and related employment issues;
- C. Exercise discretion in investigating, or otherwise pursuing, any matter raised by the DAS/RM or any ORM employee, relating to or affecting any workplace or operations issue;
- D. Use any appropriate Alternative Dispute Resolution process, if practical, to resolve any matter within the Ombudsman's purview;
- E. Have access to any ORM manager, supervisor or other employee to perform Ombudsman's duties;
- F. Not disclose any communications from ORM employees, including managers or supervisors, on any matter within the Ombudsman's purview, except upon the consent of the party providing the information or as required by law;
- G. Establish record policies concerning any information received or disseminated by the Ombudsman in the course of his/her official duties;
- H. Prepare quarterly reports concerning ORM matters and issues within the Ombudsman's purview within 15 days of the quarter's end; and
- I. Provide appropriate recommendations to resolve workplace disputes or issues.

ARTICLE IV. Limitations: The ORM Ombudsman shall not:

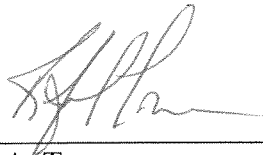
- A. Advocate for the interests of, or represent, any individual employee;
- B. Pursue or continue to pursue any matter subject to a formal statutory or administrative conflict dispute process without the consent of the affected parties: provided the Ombudsman shall not be involved in any formal complaint of employment discrimination under Equal Employment Opportunity Commission regulations;
- C. Decide, or attempt to decide, any matter concerning any workplace issue or dispute;
- D. Exercise administrative, supervisory or other control over any ORM employee;
- E. Establish, or attempt to establish, any regulation, rule or policy affecting any other employee or organization within ORM;

- F. Shall not provide ombudsman services to any other organization without the consent of the DAS/RM; provided, however, the Ombudsman may negotiate such agreements for the approval of the DAS/RM; and
- G. Shall not be assigned any duties which are inconsistent with the duties of Ombudsman established under this Charter.

ARTICLE V. Amendments: The DAS/RM may amend this charter at any time.

Approved:

This Eighth , day of January , 2008



Rafael A. Torres
Deputy Assistant Secretary for Resolution Management and
Deputy Dispute Resolution Specialist for Workplace ADR