



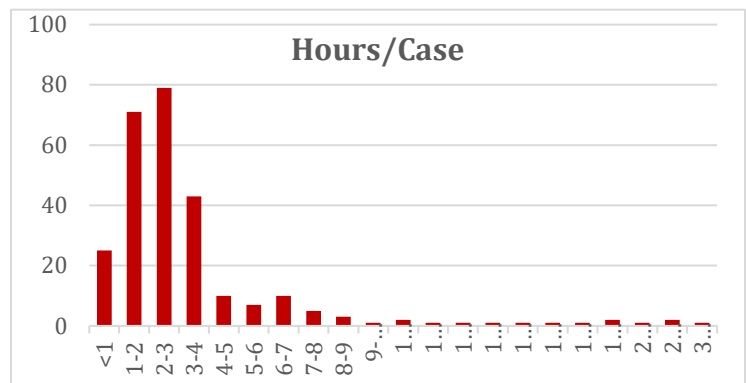
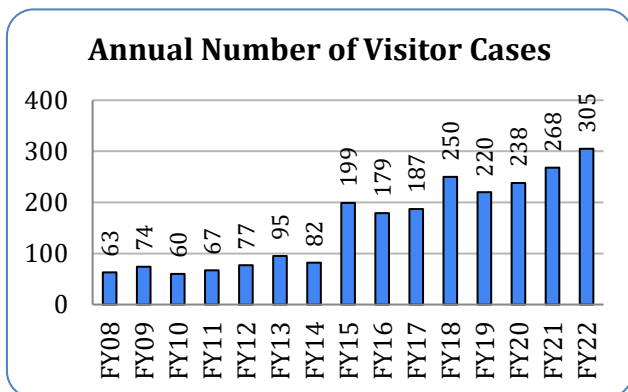
Dear Provost Scholz,

October 4, 2022

We are pleased to submit the Annual Report for the UW-Madison Ombuds Office for the Academic Year 2021-22. To summarize this past academic year, we use a phrase that Charles Dickens penned, “It was the best of times, it was the worst of times.” The *best* relates to the fact that the Ombuds worked with more Visitors than any other year in the past. The *worst* refers to the major issues we experienced which included COVID-19 virus and related issues, TTC, return to campus concerns, and the ongoing concern about better supervisor training.

	AY 21-22	AY 20-21
Cases (14% increase)	305	268
Hours/case	2.4	2.5
HIB	21.3%	19.4%
Evaluative Relationships	57%	64%

Total number of cases over 300 for the first time was an increase of 14% from the past academic year and continues an annual increase over the past many years. The increase in Visitors resulted in the Ombuds seeking permission to add a 6th Ombuds to our team next year and receiving it.

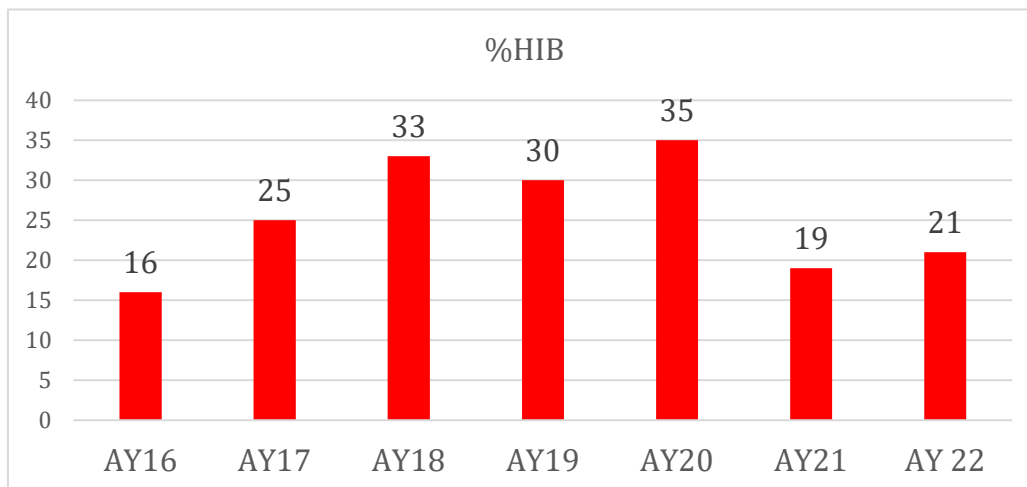


Compared to the previous year, the number of hours per case continues an increase over the past several years, indicative of the fact that Visitor issues seem to be becoming more complex.

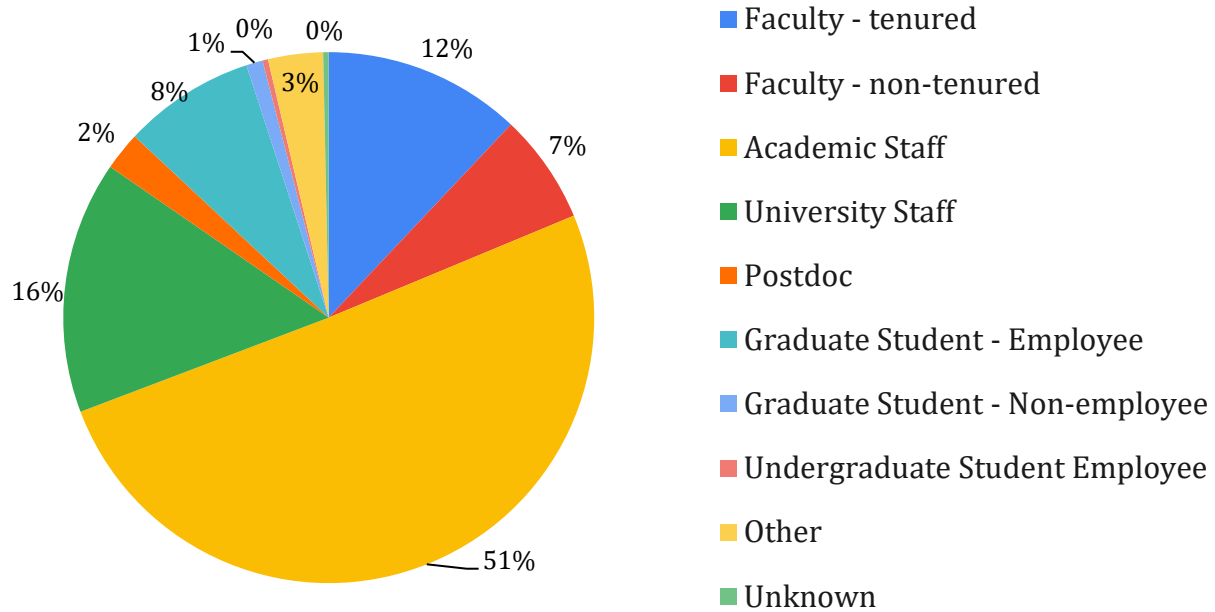
Evaluative Relationships: The International Ombuds Association uses this term to refer to a supervisor – employee relationship including major professor/PI - Grad Student. Reporting of this category remains the highest IOA category for all issues and supports an increased need for more supervisor training.

IOA Category of Issues	Count	Percent
Evaluative Relationships	178	57%
Peer and Colleague Relationships	59	19%
Career Progression and Development	57	18%
Legal, Regulatory, Financial and Compliance	39	13%
Services/Administrative Issues	33	11%
Compensation and Benefits	28	9%
Safety, Health, and Physical Environment	28	9%
Organizational, Strategic, and Mission Related	27	9%
Values, Ethics, and Standards	23	7%

Hostile and Intimidating Behavior related cases remain lower than pre-Covid amounts, again related to much work being done remotely during the AY22 timeframe. Also, employees seem to be more aware of noting HIB, as well as filing grievances or working informally to resolve this type of behavior. HIB training sessions, the HIB liaisons, and much information on the HIB website all contribute to employees becoming more knowledgeable about HIB.



Whom did we serve?



❖ As in previous years, Academic Staff dominated our caseload (50%). This was followed by University Staff (15%) and tenured Faculty (12%).

❖ Using the actual number of employees in each employment type from numbers in the Fall 2021 Data Digest, we compared the % of our Visitors in each employment type to the actual % of employees by category.

Position Types	Count	Percent
Faculty - tenured	36	11.8%
Faculty - non-tenured	20	6.6%
Academic Staff	151	49.8%
University Staff	46	15.2%
Postdoc	7	2.3%
Graduate Student - Employee	24	8.0%
Graduate Student - Non-employee	3	1.0%
Undergraduate Student Employee	1	0.3%
Other	10	3.4%
Unknown	1	0.3%

❖ For all Faculty, we saw a greater proportion of tenured and non-tenured faculty (18%) than the percentage of actual faculty/all employees (9%).

❖ The Ombuds team has continued to try to better serve University Staff and the percentage of University Staff we worked with in AY22 (15%) is similar to recent years and close to the percentage of university staff/all UW employees (17%).

❖ The percentage of Grad Students that the Ombuds worked with (9%) is considerably lower than the actual percentage of all employees (22%). However, their role is somewhat different than regular employees in that they have concerns as a TA, or issues relative to their major professor/PI, or issues

with respect to their research such as intellectual property, or difficulties with their PI allowing them to finish their position. And the Ombuds do a presentation for all incoming graduate assistants annually put on by Luis Pinero's office, to make them aware of the service the Ombuds provide.

Major issues that Ombuds have experienced

1. Covid – there were many issues related to personal safety concerns, family related issues, remote working conditions, and we felt more remote working arrangements contributed to lower HIB rates.
2. Back-to-campus – as units encouraged and, in many cases, mandated employees return for in-person work, employees were concerned about different interpretations of policy resulting in different number of days required to be on campus by different S/C and units Dean/Director's decisions. Some Visitors found that they were out of space resulting in sharing of office spaces, and some felt that more effective work was completed when working remotely. In addition, personal safety (sometimes related to disability) emerged.
3. TTC– some of our Visitors were not satisfied with assigned SJD, there was no early appeal process defined, and once salary ranges became available, it caused anxiety/dissatisfaction.
4. Supervisor Training – Historically, Evaluative Relationships remains the highest of all IOA categories for Visitor cases. Ombuds encounter this in almost two thirds of all Visitors in dealing with disciplinary related cases, performance evaluations, and general difficulties with the obvious power differential. Ombuds feel better supervisor training could provide increased skills, knowledge, and tools for effective supervision.
5. Extension – tenure track faculty had their criteria for promotion aligned with UW-Madison with an offer to move to an academic staff title. This caused confusion and discontent for some faculty.
6. SMPH/UWH – employees and Ombuds experienced a lack of clarity for dual appointed employees' concerns.
7. HIB – lower than pre-Covid times, probably due to less in-person contact but still significant. Ombuds note that more employees are becoming knowledgeable about what HIB is and resources available including HIB liaisons and HIB website.

8. The Ombuds continue to work towards equity and diversity in the team and currently have a good balance with respect to gender and ethnicity. With a fall recruitment aimed at adding another faculty member to the team, there will be a good balance with respect to employment category.

9. Web-based database (Thanks to Bruno) – real bright spot as Bruno Browning created a web-based database system moving us from the Microsoft Access world which came with many problems and required the use of an outside contractor for assistance. Data has been collected for many years by Ombuds but only reported as aggregate de-identified statistics.

10. Ombuds refer many Visitors to career counselor in the Division of Continuing Studies for help in moving to a new position within UW. With only one career counselor there is a backlog of employees waiting sometimes for months to meet with the career counsellor. Would be great to find resources to add staff to this office.

Ombuds Challenges/Goals

Action Plans

<p>Institutional memory of the Ombuds team related to 3-year terms and constant turnover of Ombuds</p>	<ul style="list-style-type: none"> • Extensive use of Ombuds Box • Review/update Orientation/Operations manual annually • Mentor new Ombuds • Rotate Ombuds Roles -Convener, Recruitment/Training, Technology, Outreach, Resources •
<p>More effort to stay in touch with campus partner offices and a practical method of introducing newest Ombuds</p>	<ul style="list-style-type: none"> • VP for Faculty & Staff – quarterly • Secretary of the Academic Staff – quarterly • Secretary of the Faculty – semi-annually • Employee Assistance Office -annually
<p>Continuous training of Ombuds</p>	<ul style="list-style-type: none"> • Developed and presented our own Ombuds Training • Visitor case reviews at every Ombuds staff meeting • Meet with key campus partners – Legal, Strategic Consulting, Career Services for Employees, Workforce Relations, HR Reps, HIB Liaisons, DDEEA, SMPH HR • UW Resources spreadsheet – extensive listing of campus partners and offices with description of services they can provide to Ombuds and/or Visitors with frequent updating
<p>Effort to work more with non-native English-speaking employees</p>	<ul style="list-style-type: none"> • Meet with Director of Cultural Linguistics Service • CLS Staff – in planning • Attend events for 2nd and 3rd shift employees

Effort to work more with University Staff	<ul style="list-style-type: none"> • CLS Staff – in planning • Work closely with VCFA Office to meet with various groups and committees, e.g., Administrative Council
Fair investigations including HIB investigations	<ul style="list-style-type: none"> • Favor more investigations conducted by central campus investigators which would insure unbiased and consistent investigations • Some HIB cases result in weaponization of accusations and investigation • Need to do a better job tracking investigations centrally
Diversity	<ul style="list-style-type: none"> • Work with our DDEEA liaison • Meet with CLS staff • Work with S/C Diversity Assoc/Asst Deans & Directors
Need for mediation resources	<ul style="list-style-type: none"> • Feel many issues between employees could be resolved with mediated meetings • Work with Office of Strategic Consulting for connections to mediation resources outside of UW.
Privy to HIPAA information	<ul style="list-style-type: none"> • Training from UW Legal • Review with all new Ombuds • Sign UW Ombuds HIPAA Confidentiality Agreement

A listing of outreach carried out by the Ombuds team is presented as an Appendix to this report. Outreach includes meeting with campus partners, presentations to units or committees, as well as meeting with individuals or offices to provide knowledge of what and how the Ombuds team works and to introduce new Ombuds.

Respectfully submitted,

The Ombuds Team: Gery Essenmacher, Lezli Redmond, Bruno Browning,
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Outreach AY 2021-2022 L=Liaison; M=Meeting; P=Presentation

M	Hazel Symonette		7/28/2021
M	Facilitation Lite workshop	Jeremy Kautza	8/2/2021
M	John Horn	VCFA-Chief of Staff	8/4/2021
M	Vice Provost for Faculty & Staff (VPFS)	Beth Meyerand	Quarterly
P	Chairs (new) "boot camp"	VPFS Office	8/25/2021
P	Graduate Student (Incoming) Fair	Grad School	9/1/2021
M	Academic Staff, Secretary of	Jake Smith	Quarterly
P	Chairs & directors (L&S) orientation	L&S	9/21/2021
M	Legal Services--Rachel Jeris	Legal Services	9/22/2021
P	Grad Assistant E&D - Fall	DDEEA	9/27-10/14/2021
M	Provost - Annual meeting/report		10/1/2021
P	HR Employee Benefits Fair	OHR	10/5/2021
M	Faculty, Secretary of	Heather Daniels	10/13/2021
M	April McHugh	Continuing Studies	10/27/2021
M	Luis Pinero	DDEEA	11/10/2021
P	University Committee		11/15/2021
P	University Staff Congress		11/15/2021
M	Employee Disability	Barb Lanser	11/17/2021
M	Extension Workforce Relations	Jamie O'Donnell	12/1/2021
P	Faculty Senate		12/6/2021
P	Academic Staff Exec Comm	ASEC	12/9/2021
P	Academic Staff Assembly		12/13/2021
P	Librarian's Assembly (aka GLS CASI)	Libraries	1/25/2022
P	Grad Assistant E&D - Spring session	DDEEA	2/8-17/2022
M	Employee Assistance Office	EAO	2/23/2022
P	Equity and Diversity Committee (campus)	DDEEA	3/2/2022
M	HIB Liaisons	Tom Browne, Tamie Klumpanyan	3/2/2022
Attend	Showcase	Strategic Consulting	3/8/2022
P	Campus Diversity & Climate Comm	DDEEA	3/9/2022
M	Workforce Relations staff	HR Workforce Relations	3/16/2022

M	Workforce Rel Community of Practice	HR Workforce Relations	3/25/2022
P	Postdoc D&I Panel	SMPH	4/26/2022
M	Workforce Relations	Megan Dzyuba (Director), Craig Hubbell (Investigator)	4/27/2022
M	Cultural Linguistic Services Director	CLS/HR	5/18/2022
P	Administrative Council (VCFA)	John Horn	6/2/2022