



September 18, 2016

Sarah C. Mangelsdorf, Provost
150 Bascom Hall
University of Wisconsin-Madison

Dear Provost Mangelsdorf:

We are pleased to share with you the Annual Report 2015-2016 Academic Year of the Ombuds Office.

It was a busy year for the Ombuds Office. We experienced a 90.4% increase in visitor contacts from academic year 2014-15. Academic Staff continue to use our services at a rate higher than their proportion in the university's workforce. It appears that we continue to underserve University Staff who make up 14% of our visitors, but approximately 28% of the total workforce. We plan to address this issue with special outreach efforts in the coming year.

The most common concerns brought to the office by visitors (52% of all cases) involved "evaluative relationships" – e.g., supervisor-employee. "Peer and colleague relationships" (18%) and "career progression and development" (12%) ranked second and third.

We continued to pay close attention to visitor concerns related to hostile and intimidating behavior, which was identified as a factor in 16% of all cases. In addition, we monitor the impact on employees from the university's human resources re-design implementation, the ongoing budget reductions and changes to the Fair Labor Standards Act.

We are convinced that the Ombuds Office is providing a valuable service to the university and all of its employees. We look forward to meeting with you on Thursday, September 8, 2016, at 2:00 p.m. to discuss the work of the Ombuds Office in further detail.

Sincerely,

The Ombuds Team

Dale Burke
Jo Ann Carr
John Dowling
Rosa Garner
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Michael Bernard-Donals

Ombuds Office

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OMBUDS OFFICE

Annual Report Academic Year 2015-16

1. Consulted with individual employee Visitors and work groups

- ♥ Experienced 90.4% increase in visitor contacts over the previous year (*Attachments 1-4*)
- ♥ Encouraged early engagement with employees when more options are available to address workplace challenges
- ♥ Visitor concerns about "evaluative relationships" ranked 1st among presented issues in 52% of cases, encompassing a wide range of power differential areas and decision-making by supervisors, managers, chairs, PI's, directors and deans
- ♥ "Peer and colleague relationships" and "career progression and development" ranked 2nd and 3rd in presenting Visitor issues
- ♥ University staff (US) comprised 15% of Visitor contacts; when compared with Data Digest at 28%, US were the only underrepresented employee group served
- ♥ Need for data on the school/college/work unit of employee/Visitor to identify trends and opportunities for local engagement

2. Monitored concerns related to hostile and intimidating behavior

- ♥ Hostile and intimidating behavior was identified as a factor in 16% of all Ombuds cases during AY16 (*Attachment 5*)
- ♥ 19 cases involved "abusive, threatening, or coercive behavior" from supervisors, managers, or other leaders described most frequently as:
 - lack of respect
 - departmental climate
 - supervisory ineffectiveness
 - poor quality / quantity of communication
- ♥ 12 cases involved visitors' relationships with peers and colleagues that were impacted by:
 - lack of respect
 - poor quality of communication
 - retaliatory actions

3. Assessed impacts of Human Resources re-design implementation, budget reductions, and FLSA

- ♥ Met quarterly with OHR's director of workplace relations to discuss HR re-design issues and FLSA issues

- ♥ Attended OHR information session on FLSA changes as well as on HR re-design implementation
- ♥ Identified visitor concerns that appear to be related to budget reductions; 6% of visitors expressed concerns about workload issues and 3.84% expressed concerns regarding position ambiguity, many stemming from changes in position expectations due to vacancies or positions that had been eliminated

4. Facilitated transition of Ombuds for School of Medicine and Public Health (SMPH)

- ♥ Ombuds services expanded to include the SMPH with the addition of a fifth Ombuds to the consultant-retiree team.
- ♥ SMPH provided both use of an office in the Health Sciences Learning Center for meeting with Visitors and a parking permit to assist activities on west campus
- ♥ Visitors from the SMPH comprised 27% (49 cases) of the total

5. Engaged in outreach and education about Ombuds services

- ♥ Governance connections:
 - Met with Secretaries of the Faculty, Academic Staff and University Staff to discuss issues among their constituents
 - Met with Faculty Senate, Academic Staff Assembly and University Staff Congress
 - Discussed role of Ombuds with Academic Staff Mentoring Committee
 - Consulted with the Joint Ad Hoc Committee on Hostile and Intimidating Behavior
- ♥ Professional development activities for UW-Madison employees:
 - Graduate Assistant Equity Workshops
 - Employee Benefits and Resource Fair
 - Office of Postdoctoral Studies
- ♥ Collaboration with resource providers for employees:
 - Continued collaboration with the Employee Assistance Office through -
 - Ongoing conversations about issues affecting the campus
 - Development of "Distinguishing the Services of the Employee Assistance Office and the Ombuds Office" (*Attachment 6*)
 - Served on the Search Committee for a new EAO staff position and participated in presentations by finalists
 - Joined discussions with the Health Sciences Civility and Anti-bullying Committee
 - Met with graduate student representative interested in establishing graduate student Ombuds services
 - Expanded working relationship with Vice Provost for Faculty and Staff Programs
 - Participated with the Secretary of the Faculty and EAO on development of a one-stop web page listing employee resources for workplace conflict and challenges

- Met with Clery Act and Threat Assessment staff to create better understanding of our respective roles and responsibilities
- Conducted discussion with the Disability Coordinator for Employment from the Office of Equity and Diversity to review process for employees seeking accommodations and requests for FMLA leave

6. Continued to build Ombuds team's capacity to serve the campus

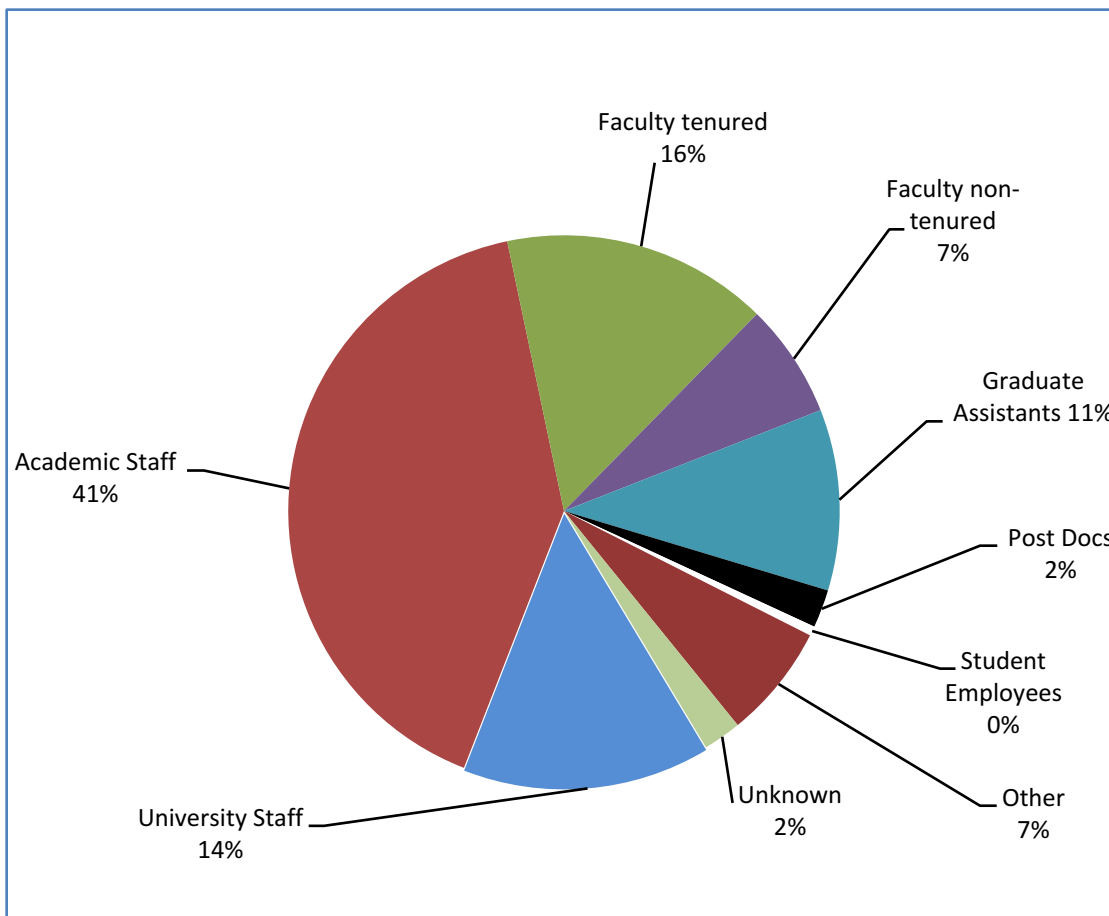
- ♥ Strengthened our focus on core Ombuds principles and practices and office administration:
 - Directed our engagement for AY16 through priorities in our Outreach and Service Plan
 - Implemented a shared management plan for the office by identifying, defining, and assigning administrative roles needed for the efficient operation of the office
 - Re-aligned our process for weekly meetings to provide focused discussion and renewed commitment in our Ombuds practice
 - Developed the "Ombuds Orientation Guide & Reference" with essential information, documents, resources and newly-developed procedures
- ♥ Data collection and analysis:
 - Quarterly review of case data to build capacity for analysis, accuracy and consistency
 - Initiated planning for database update and maintenance
- ♥ Professional development:
 - Membership in the International Ombudsman Association
 - Newly-appointed Ombuds attendance at the 2016 Academic Ombuds Summer Meeting

UW-Madison OMBUDS OFFICE Visitor Report

July 2015 - June 2016

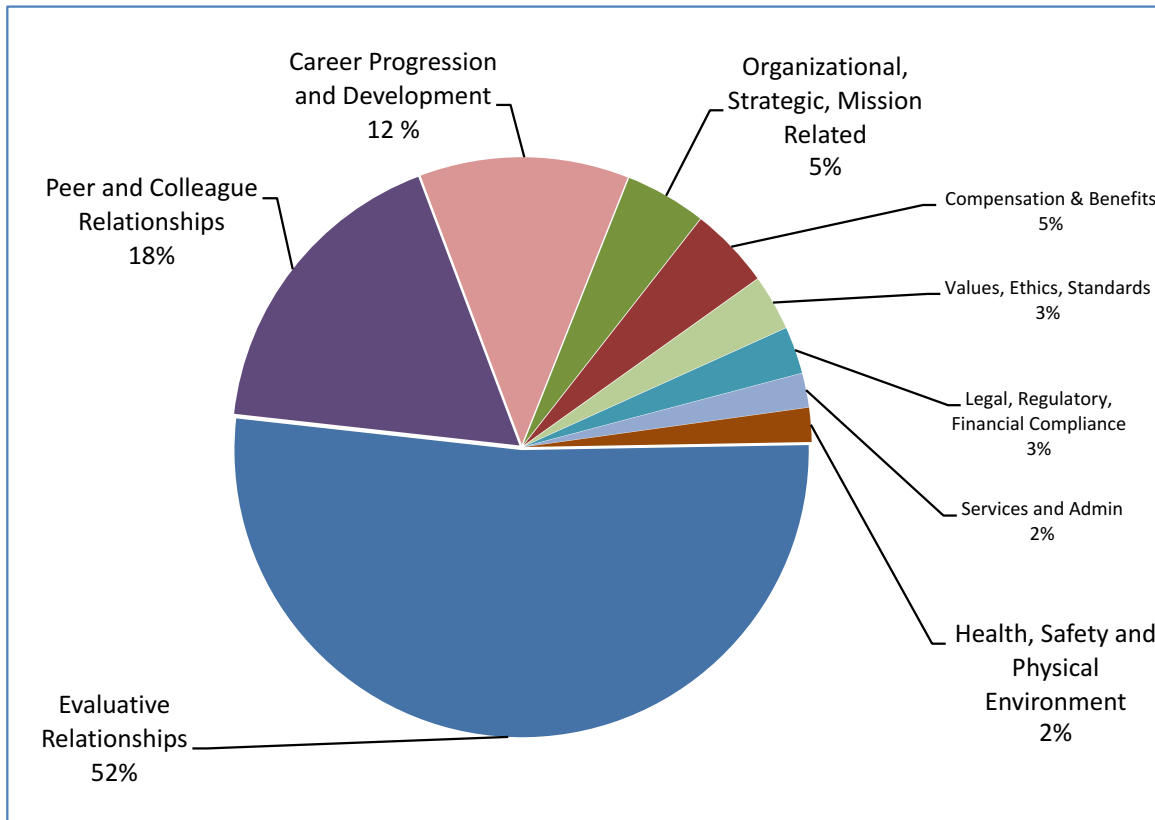
POSITIONS

University Staff	26	15%
Academic Staff	73	41%
Faculty tenured	28	16%
Faculty non-tenured	12	7%
Graduate Assistants	19	11%
Post Docs	4	2%
Student Employees	1	1%
Other	12	7%
Unknown	4	2%
Total	179	



UW-Madison OMBUDS OFFICE Issues Report July 2015 - June 2016

	#	%
Evaluative Relationships	217	52%
Peer and Colleague Relationships	73	18%
Career Progression and Development	49	12%
Organizational, Strategic, Mission Related	19	5%
Compensation & Benefits	19	5%
Values, Ethics, Standards	13	3%
Legal, Regulatory, Financial Compliance	11	3%
Services and Admin	8	2%
Health, Safety and Physical Environment	8	2%
Total	417	



UW-Madison
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Visitor Report
 July 2015 - June 2016

Total Cases **179**

Position		
University (classified) Staff	26	14.53%
Academic Staff	73	40.78%
Faculty tenured	28	15.64%
Faculty non-tenured	12	6.70%
Graduate Assistants (TA/PA)	19	10.61%
Post-Doc	4	2.23%
Student Employees	1	0.56%
Other	12	6.70%
Unknown	4	2.23%

Gender		
Female	111	62.01%
Male	64	35.75%
Unknown	4	2.23%

Years of Service		
<= 5	54	30.17%
> 5	102	56.98%
Unknown	23	12.85%

Ethnicity		
Majority/white	134	74.86%
Minority/non white	25	13.97%
Unknown	20	11.17%

UW-Madison
OMBUDS OFFICE
Issues Report

July 2015 - June 2016

	Total Issues *	Category %	Total %
Employee Compensation and Benefits	19		4.56%
1 a Compensation	7	36.84%	1.68%
1 b Payroll	2	10.53%	0.48%
1 c Benefits	4	21.05%	0.96%
1 d Retirement, Pension	2	10.53%	0.48%
1 e Other	4	21.05%	0.96%
Evaluative Relationships	217		52.04%
2 a Work Assignments/Schedules	25	11.52%	6.00%
2 b Feedback	7	3.23%	1.68%
2 c Career Development/Coaching/Mentoring	10	4.61%	2.40%
2 d Consultation	9	4.15%	2.16%
2 e Performance Appraisal, Grading	18	8.29%	4.32%
2 f Departmental Climate	22	10.14%	5.28%
2 g Supervisory Effectiveness	20	9.22%	4.80%
2 h Insubordination	1	0.46%	0.24%
2 i Disciplinary Process	13	5.99%	3.12%
2 j Equity of Treatment	15	6.91%	3.60%
2 k Priorities, Values, Beliefs	1	0.46%	0.24%
2 l Respect, Treatment	22	10.14%	5.28%
2 m Trust, Integrity	6	2.76%	1.44%
2 n Communication	23	10.60%	5.52%
2 o Bullying	19	8.76%	4.56%
2 p Diversity-Related	1	0.46%	0.24%
2 q Retaliation	4	1.84%	0.96%
2 s Other	1	0.46%	0.24%

* A case may have multiple issues.

UW-Madison
OMBUDS OFFICE
Issues Report

July 2015 - June 2016

	Total Issues *	Category %	Total %
Peer and Colleague Relationships	73		17.51%
3 a Equity of Treatment	5	6.85%	1.20%
3 b Priorities, Values, Beliefs	2	2.74%	0.48%
3 c Respect, Treatment	24	32.88%	5.76%
3 d Trust, Integrity	2	2.74%	0.48%
3 e Communication	23	31.51%	5.52%
3 f Bullying	12	16.44%	2.88%
3 g Diversity-Related	1	1.37%	0.24%
3 h Retaliation	3	4.11%	0.72%
3 j Other	1	1.37%	0.24%
Career Progression and Development	49		11.75%
4 a Application, Selection, Recruitment Process	4	8.16%	0.96%
4 b Job Classification	3	6.12%	0.72%
4 c Involuntary Transfer, Change of Assignment	6	12.24%	1.44%
4 d Tenure, Position Security, Ambiguity	16	32.65%	3.84%
4 e Rotation, Duration of Assignment	1	2.04%	0.24%
4 f Resignation	6	12.24%	1.44%
4 g Termination, Non-Renewal	12	24.49%	2.88%
4 i Exit Interview	1	2.04%	0.24%
Legal, Regulatory, Financial, Compliance	11		2.64%
5 b Business, Financial Practices	1	9.09%	0.24%
5 c Harassment	3	27.27%	0.72%
5 d Discrimination	1	9.09%	0.24%
5 e Disability, Reasonable Accommodation	4	36.36%	0.96%
5 f Accessibility	1	9.09%	0.24%
5 i Other	1	9.09%	0.24%

* A case may have multiple issues.

UW-Madison
OMBUDS OFFICE
Issues Report

July 2015 - June 2016

	Total Issues *	Category %	Total %
Safety, Health, Physical Environment	8		1.92%
6 a Safety	1	12.50%	0.24%
6 b Physical Working Conditions	1	12.50%	0.24%
6 e Security	1	12.50%	0.24%
6 f Telework, Flexplace	1	12.50%	0.24%
6 i Work Related Stress, Work-Life Balance	4	50.00%	0.96%
Services and Administrative Issues	8		1.92%
7 a Quality of Services	1	12.50%	0.24%
7 c Admin Decision, Rule Application	6	75.00%	1.44%
7 e Other	1	12.50%	0.24%
Organizational, Strategic, and Mission Related	19		4.56%
8 b Leadership, Management	3	15.79%	0.72%
8 c Use of Position, Authority	5	26.32%	1.20%
8 d Communication	1	5.26%	0.24%
8 e Restructuring, Relocation	1	5.26%	0.24%
8 f Organizational Climate	2	10.53%	0.48%
8 g Change Management	5	26.32%	1.20%
8 h Priority Setting, Funding	1	5.26%	0.24%
8 j Interdepartmental, Interorganizational Territory	1	5.26%	0.24%
Values, Ethics, and Standards	13		3.12%
9 b Standards of Conduct	5	38.46%	1.20%
9 c Values, Culture	4	30.77%	0.96%
9 d Scientific Conduct, Integrity	4	30.77%	0.96%

* A case may have multiple issues.

**UW-Madison
Ombuds Office
Hostile & Intimidating Behavior (HIB) Issues
July 2015 – June 2016**

Overview:

- ♥ 179 cases
- ♥ HIB / Bullying Cases – 29
- ♥ HIB / Bullying in 16% of Cases

Evaluative Relationships Bullying* (HIB) - 19 cases**

(abusive, threatening, and/or coercive behaviors)

- 7 - Respect/Treatment
(demonstrations of inappropriate behavior, disregard for people, rudeness, crudeness, etc.)
- 5 - Departmental Climate
(prevailing behaviors, norms, attitudes in dept. - supervisors/faculty responsibility)
- 4 - Supervisory Effectiveness
(management of dept. / unit, failure to address issues)
- 3 - Communication
(quality and/or quantity of communication)
- 2 - Equity of Treatment
(favoritism, one or more individuals receive preferential treatment)
- 2 - Feedback
(feedback or recognition given, or responses to feedback received)
- 2 - Work Assignments/Schedules
(appropriateness or fairness of job tasks, responsibilities)
- 1 - Career Development/Coaching/Mentoring
(varied assignments as training and developmental opportunities)
- 1 - Performance Appraisal
(job performance in formal or informal evaluation)
- 1 - Retaliation
(punitive behaviors for previous actions or comments, whistleblower)
- 1 - Trust, Integrity
(suspicion that others are not being honest)

Peer and Colleague Relationships Bullying* (HIB) – 12 cases**

(abusive, threatening, and/or coercive behaviors)

- 8 - Respect/Treatment
(demonstrations of inappropriate regard for people, not listening, rudeness, crudeness, etc.)
- 7 - Communication
(quality and/or quantity of communication)
- 3 - Retaliation
(punitive behaviors for previous actions or comments, whistleblower)
- 1 - Trust, Integrity
(suspicion that others are not being honest)

* Corresponding IOA Database Categories for HIB Issues

**A case may involve multiple issues

Distinguishing the Services of the Employee Assistance Office and the Ombuds Office

The University of Wisconsin-Madison provides the Employee Assistance Office and the Ombuds Office as complementary resources to support employees in managing challenges and conflicts in the workplace.

Employee Assistance is a team of internal, licensed professional counselors whose mission is to give timely assistance to all employees with personal or work-related concerns in order to contribute to the overall performance and well-being of the employee.

Ombuds provide a safe opportunity to be heard, explore concerns, and consider resources, options, and strategies for next steps to address workplace concerns. Ombuds are impartial and non-aligned, promoting fairness in the workplace, rather than representing any side in a dispute.

Early consultations when the employee begins to experience a concern will offer greater flexibility for achieving success. Employees can start with either office to explore potential campus resources.

Both offices:	
♥	Are familiar with campus policies and procedures.
♥	Provide services at no cost to the employee.
♥	May help to facilitate communication between and among employees and others.
♥	Provide confidentiality to all visitors and do not retain formal records of visitor contacts.
♥	Are not authorized to accept notice of claims against the University.
♥	Campus allows employees to use work time for appointments.
♥	Offer an informal process to address conflict/communication.

Differences between the offices:		
	Ombuds	Employee Assistance Office
Staffing	Ombuds are retired faculty, academic and university staff with extensive on-campus experience to provide a collective team perspective.	EAO Consultants are licensed counselors with background and training that includes organizational development/leadership.
Audience and issues addressed	Any campus employee, including student employees and post docs, may initiate contact to consult about workplace dilemmas.	Any campus employee, including student employees and post docs may make appointments to discuss workplace concerns or personal issues. Additionally, family members or significant others are eligible for counseling.
Case initiation	The employee is <i>always</i> the one to initiate contact with the Ombuds Office.	Employees may initiate contact with the EAO. Supervisors can refer but not mandate employees to contact EAO.
Scheduling meetings	Assistance may be provided by telephone or meetings may be scheduled at a time and location convenient to the employee and the Ombuds.	Counseling appointments can be made by phone or email. Counseling sessions occur at the Lowell Center. Consultation can occur across campus at the division or college making the requests.

Unique Features

Ombuds

- ♥ Is independent in structure, function, and appearance to the highest degree possible within the organization.
- ♥ Strives for impartiality, fairness and objectivity in the treatment of people and the consideration of issues. The Ombuds advocate for fair and equitably administered processes and does advocate on behalf of any individual within the organization.
- ♥ Is an alternative, informal resource and does not participate in any formal adjudicative or administrative procedure related to concerns brought to its attention.

EAO

- ♥ Offers group facilitation to resolve conflict, and improve communication and teamwork.
- ♥ Responds to crises and traumatic events with affected employees.
- ♥ EAO director is a member of the campus Threat Assessment Team to proactively address concerns before they become disruptive to the workplace.
- ♥ Provides coaching for supervisory staff on difficult conversations.
- ♥ Offers consultation to unit human resource staff on concerns for employees, supervisors, and groups.
- ♥ Offers educational presentations on many interpersonal workplace dynamic topics such as communication, respect, and dealing with conflict.
- ♥ Offers educational presentations on a variety of wellness related topics such as personal self-awareness and stress management.
- ♥ Data is collected through follow up surveys
- ♥ Is duty bound to maintain confidentiality unless permission is given in writing.