Office of the
Ombuds

2020 Annual Report

The Ombuds Office
414-266-8776 **(Confidential line)**
mcw.edu/Ombuds

MEDICAL COLLEGE OF WISCONSIN

Medical College of Wisconsin
Office of the Ombuds

Annual Report to Faculty and Staff
January 1 to December 31, 2020

Message from the Ombuds

It is a pleasure to share the ninth Annual Report from the Medical College of Wisconsin (MCW) Ombuds Office. We remain honored to serve as a confidential resource for MCW staff, postdoctoral fellows, and faculty, particularly so during the extraordinary challenges of this past year. We recognize that trust is an earned foundation for the Ombuds Office, and we are grateful to the individuals who place their confidence in our services. We also wish to express our appreciation to the individuals and groups throughout MCW who work to address issues brought to their attention.

Our annual feedback to the MCW community is intended to inform the organization about the general themes of concern that staff, faculty, and postdoctoral fellows have discussed with us in the past year. The Annual Report also illustrates the diverse nature of issues that colleagues share *in confidence* with the Ombuds. The report includes a summary of the data collected through the Ombuds Office Experience Survey as well as information on outreach efforts.

We welcome comments and suggestions for improving the Annual Report and for ensuring that the services of the Ombuds are as beneficial as possible to MCW staff, faculty, and post-doctoral fellows. You may share your feedback by contacting us directly or by completing our anonymous Ombuds Office Experience Survey.

Thank you for the opportunity to serve the MCW community.

Natalie C. Fleury, JD
Ombuds

Michelle Shasha, PhD
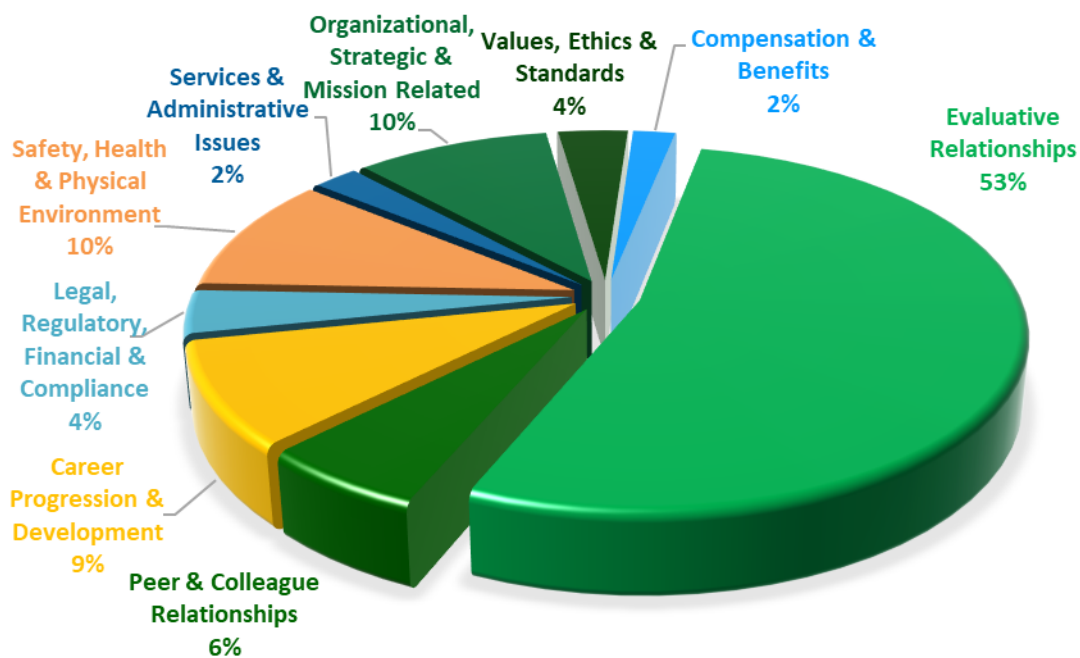Ombuds

Katie Geis
Assistant to the Ombuds

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Annual Report
2020

Total Visit Contacts 231

Total Concerns 1252

Visitor-Related Contacts 2020

Staff | Faculty | Leader Consult | Other

(scale: 0, 50, 100)

CONCERNS BY TYPE

- Organizational, Strategic & Mission Related 10%
- Values, Ethics & Standards 4%
- Compensation & Benefits 2%
- Services & Administrative Issues 2%
- Safety, Health & Physical Environment 10%
- Legal, Regulatory, Financial & Compliance 4%
- Career Progression & Development 9%
- Peer & Colleague Relationships 6%
- Evaluative Relationships 53%

Overall

Visitor

Satisfaction

Rate

2017-2020

80%

Services Provided

⇒ Consultations

⇒ Facilitations

⇒ Exit Interviews

⇒ Presentations

Number of Visitor Related Contacts 2011-2020

(y-axis: 0, 50, 100, 150, 200, 250, 300; x-axis: 2011, 2013, 2014, 2015, 2016, 2017, 2018, 2019, 2020)

The Annual Report in Context

The Ombuds Office was established in the fall of 2011 by John R. Raymond, Sr., MD, MCW's President and CEO, as a resource for faculty, staff and postdoctoral fellows who wish to discuss workplace concerns or conflicts in a confidential space. The Ombuds Office practices in compliance with the [International Ombudsman Association ("IOA") Standards of Practice and Code of Ethics](#), adhering to the principles of confidentiality, independence, informality, and neutrality.

As described in MCW Corporate Policy [AD.CC.070](#), the Ombuds Office also serves as an information and communication resource, consultant, and catalyst for institutional change. The Office provides feedback to MCW leadership when trends, patterns, policies, or procedures of the organization generate concerns or conflicts.

As an informal, confidential, and impartial resource, the Ombuds may become aware of concerns that may not surface elsewhere. The issues presented are usually many-sided. The trends identified in the Annual Report are not intended to represent whole truths about complex issues or to criticize or assign fault. This Report is intended to inform the organization, as the concerns raised through the Ombuds Office may provide additional points of view for institutional review, learning and action. Prior year reports are available through the [MCW Ombuds Office webpage.](#)

Our Core Principles:

We are confidential.

We do not identify our visitors nor discuss their concerns with anyone without their permission. The only exceptions to this pledge of confidentiality are when the Ombuds determines that there is an imminent threat of harm or in the *rare instance* that the Ombuds is legally compelled to report the situation.

We are independent.

We report directly to the President and Chief Executive Officer of MCW. The Ombuds Office is independent of central administrative offices and is not aligned with any campus department or group.

We are informal.

Any communication with us is "off the record"; the Ombuds Office is not authorized to receive official notice for MCW.

We are neutral.

We do not take sides. We consider the rights and interests of all parties. We are advocates for good communication and fair process.

Contact Log

Due to the COVID-19 pandemic, all Ombuds' contacts transitioned to telephone and video beginning in March 2020.

From January 1 to December 31, 2020, the MCW Ombuds Office logged 231 total visitor-related contacts with individuals or groups of individuals. Of these contacts, 157 were distinct individual consultations, including 22 faculty and three staff exit interviews. Exit interviews are offered to faculty who are retiring, have elected to leave for career advancement or personal reasons, or have not had their MCW contracts extended. Staff exit interviews are conducted at the request of the departing staff member.


During the 2019 reporting year, the Ombuds Office began tracking leader consultations and inquiries: these contacts are initiated by the Ombuds and *only* with visitor permission. These contacts are generally made to inquire informally about a situation or to surface a concern anonymously on behalf of a visitor.
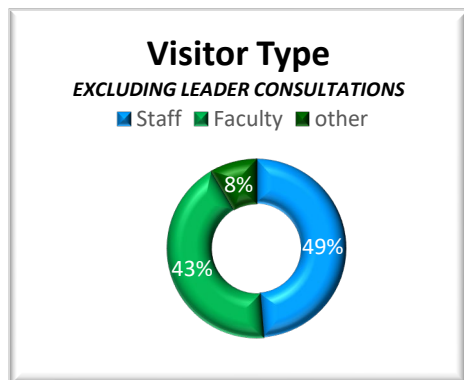
Examples of such consultations might include those with the Corporate Compliance Office, Office of Human Resources, Faculty Affairs, or other departmental or organizational leaders. The Ombuds Office conducted 40 leader consultations and inquiries in 2020; this number is included in the above total number of visitor-related contacts.

Excluding leader consultations, the 191 visits with the Ombuds Office included 93 (49%) staff, 82 (43%) faculty, and 16 (8%) postdoctoral fellows, "other," or unknown visitors. Visitors/visitor groups to the Ombuds were employed in MCW clinical departments (56.7%), administrative units (15%), centers/institutes (7.5%) and basic science departments (7.5%). In addition, 13.4% worked in "other" or unknown departments.
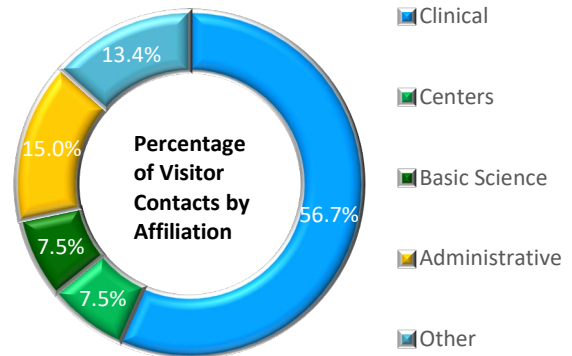
Overview of Concerns

The [International Ombuds Association](#) (IOA) recommends tracking and reporting the number of issues discussed with the Ombuds rather than the number of visitors, groups of visitors or total individuals contacted, citing greater reliability in categorizing and reporting issues. To that end, this Annual Report provides a detailed tally of the issues discussed with the MCW Ombuds in accordance with the recommended reporting categories established by the IOA.

During the 2020 calendar year, 1252 concerns were raised by visitors to the Ombuds Office. These issues and/or concerns are further detailed in the IOA Category Table included in Appendix A. The 2011-2020 historical trends of the IOA categories of concern are available on the [Ombuds Office website](#).

CONCERNS BY TYPE

Organizational, Strategic & Mission Related 10%

Values, Ethics & Standards 4%

Compensation & Benefits 2%

Services & Administrative Issues 2%

Safety, Health & Physical Environment 10%

Legal, Regulatory, Financial & Compliance 4%

Career Progression & Development 9%

Peer & Colleague Relationships 6%

Evaluative Relationships 53%

As in past years, "Evaluative Relationship" concerns were the most common issue raised, comprising 53% of all issues reported in 2020. This category reflects concern regarding relationships with either supervisors or supervisees and is consistent with data reported by other organizational ombuds offices, as the power differences in these relationships may create additional strain.

Thematic Issues and Concerns Identified by Visitors to the MCW Ombuds Office

Themes emerge over time through the issues brought to the attention of the Ombuds. These are matters of concern, usually raised by multiple visitors on multiple occasions. The following information provides a brief description of the themes which have been, or will be, addressed with MCW leadership. In addition to the issues described here, as in past years, the Ombuds have discussed several department-specific issues with MCW leadership while preserving the confidentiality required by the Ombuds Office.
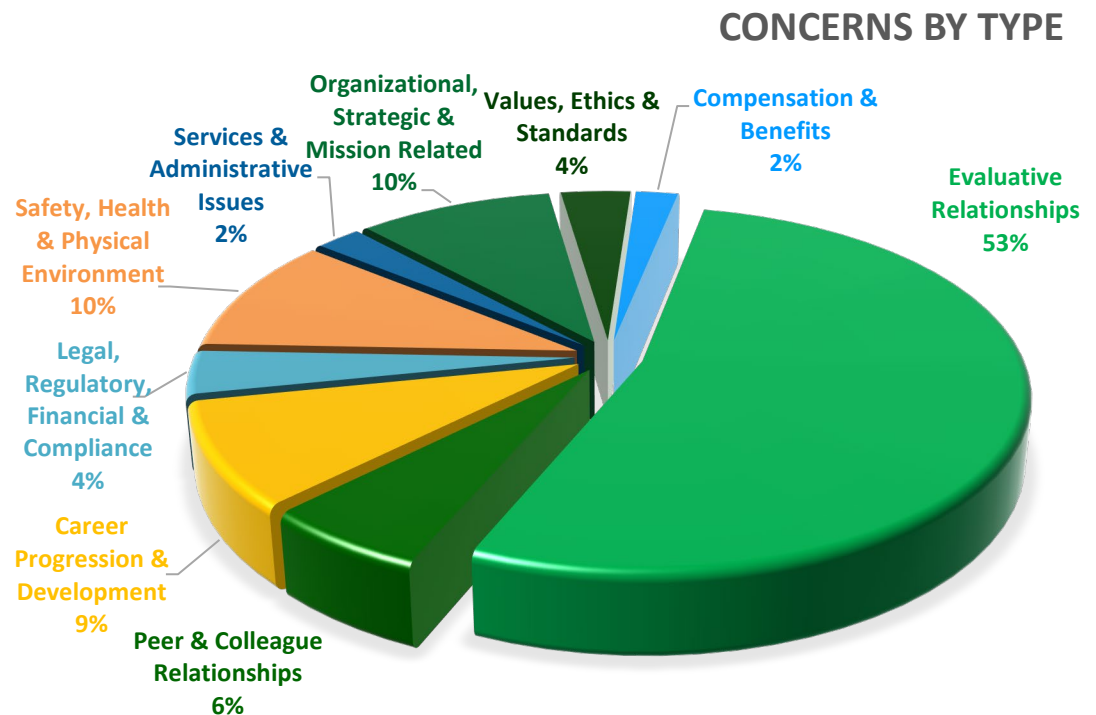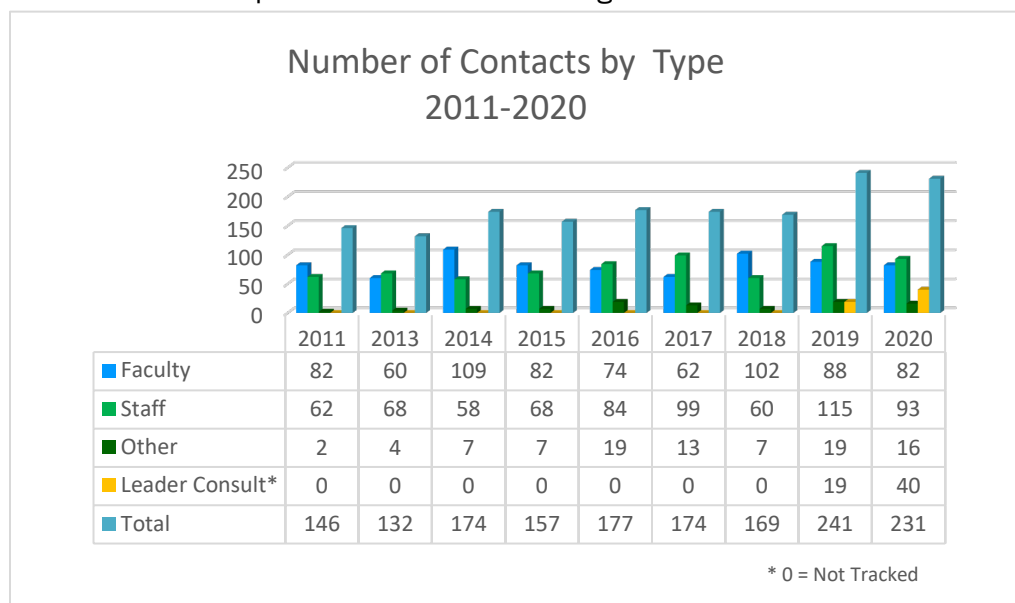
Please note that culture, trust, and communication norms vary considerably across MCW. The issues described here do not apply to all campuses, departments, or subgroups, though they nonetheless merit broad institutional awareness.

Workplace Culture

- While MCW has a non-retaliation and non-retribution policy for reporting violations of law, regulation, or policy (*see* MCW Corporate Policy [AD.CC.020](#)), concerns about repercussions[1] for surfacing issues directly with those involved in a situation is a recurring theme during visits with the Ombuds[2]. It is likely that the confidential nature of the Ombuds Office appeals to those who are concerned about reprisal. This theme is noted here as a potential barrier to open and constructive dialogue.

- Repercussion concerns may, in part, be heightened by a second central theme: in some departments, individuals with organizational status and formal power are perceived to be granted more latitude in

Number of Contacts by Type 2011-2020

	2011	2013	2014	2015	2016	2017	2018	2019	2020
Faculty	82	60	109	82	74	62	102	88	82
Staff	62	68	58	68	84	99	60	115	93
Other	2	4	7	7	19	13	7	19	16
Leader Consult*	0	0	0	0	0	0	0	19	40
Total	146	132	174	157	177	174	169	241	231

* 0 = Not Tracked

their work performance and professionalism than those without status or power. The reporting line surrounding these individuals is perceived to protect the needs of those with institutional influence rather than uphold uniform accountability.

- Together, fear of reprisal and inequity in accountability may create institutional sub-cultures in which 'bottom-up' feedback is discouraged, trust is compromised, and leader and organizational growth may be stilted. Many of the individuals raising the themes described in this report addressed one or the other of these overarching themes. Such concerns were voiced by both faculty and staff and often with the positive intent of encouraging a healthy workplace culture.

Covid-19 / Remote Work Adaptation

- The unexpected and abrupt shift to remote work left some new employees wondering whether their onboarding and training processes were compromised.

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[1] Visitors often raise the concern using the term "retaliation." We use the terms repercussions and reprisal to differentiate the concerns from retaliation, which may have a specific legal context.
[2] 31% of visitors expressed concern regarding potential reprisal if they raised issues.

- Some employees grappled with expectations of around-the-clock responsiveness and/or increased micromanagement from their leaders after transitioning to remote work.
- As has been recognized world-wide, remote work put unique strains on caregivers who juggled the simultaneous demands of work and home caused by the pandemic.

Administrative

- Some visitors expressed uncertainty as to whether inquiries and discussions with Human Resources are confidential. This may lead to misunderstanding and mistrust about the priorities and organizational role of Human Resources.
- Some faculty are uncertain about whom they might turn to as a faculty advocate when they encounter concerns that involve employees or policies of affiliate institutions. Additionally, institutional and departmental climate, communication norms and policy differences can complicate resolution of conflict within and across organizations.
- While MCW's nepotism policy addresses reporting lines to eliminate formal conflicts of interest, it does not take into consideration climate and communication issues related to personal relationships that fall outside of specific departmental reporting lines.

Equity

- Gender
  - Although MCW has taken steps to address gender concerns, including support of the [Center for Advancement of Women in Science and Medicine (AWSM),](link) an annual [faculty salary equity audit](link), and the [IWill MCW](link) campaign), some women report experiencing an "old boys' network" in the organization, raising questions about women's salary equity, professional recognition, and decision-making authority relative to men of similar role or status.
  - Some women may resign from leadership roles because of a felt lack of support regarding mentorship, equitable credit, protected time, and a subtle suppression of their views and contributions.
- Race
  - While MCW has identified [inclusive excellence](link) as an institutional priority, perceived risk of reprisal may discourage bystanders from speaking up when they observe racial inequities, discrimination, or harassment, stifling a key component of institutional change for an antiracist organization.
  - The regional campuses may have unique issues related to race that differ from those of the Milwaukee campuses.
- Age

  - There is a perception that some older adult employees are pushed out of the organization through the assignment of less desirable tasks, unreasonable clinical demands, or position redefinition or elimination.

Employee Well-Being

- Limiting health care benefit in-network coverage to clinicians employed by MCW and its affiliates can create conflicts for employees and their family members who might prefer to avoid dual relationships in their care, particularly if they do not have the financial freedom to choose an out-of-network clinician. This potential dual relationship can also create conflict for clinicians who may be asked to clinically treat their colleagues.

Visitors Raising Work - Related Stress and Work-Life Balance Concerns

(Bar chart values by year: 2020 = 74, 2019 = 93, 2018 = 62, 2017 = 55, 2016 = 41, 2015 = 11, 2014 = 7, 2013 = 4, 2011-2012 = 6)

- Some employees expressed concern as to whether root causes of burnout are being assessed and addressed at the clinic, division, and department levels.
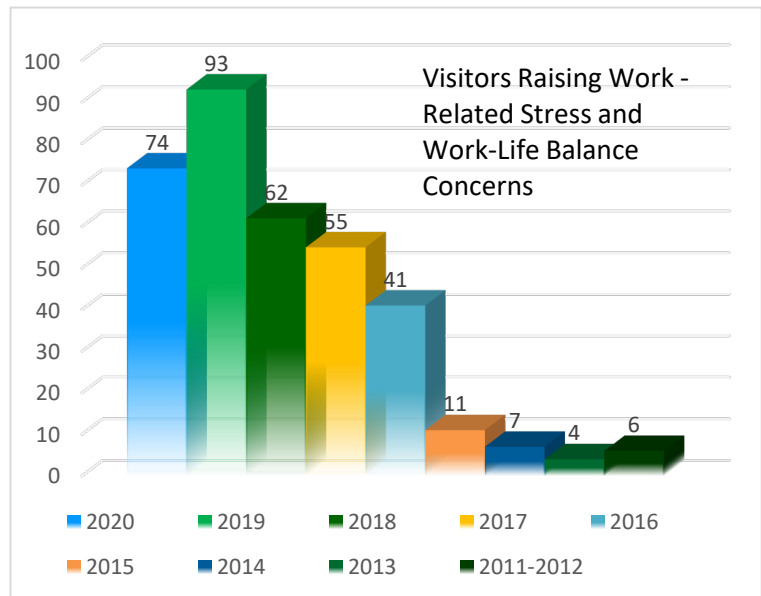
Employee Development

- Postdoctoral Fellows
  - Productivity and academic expectations for postdocs are not consistently made explicit prior to the start of postdoc employment, increasing the potential for subsequent discord between postdocs and their mentors. These conflicts can be particularly taxing for postdocs of foreign national status. While the Office of Postdoctoral Education resources include the Compact for Postdoctoral Appointees and Their Mentors, it does not appear to be widely used to outline mutual expectations.
- Staff
  - Trial Period
    - The employee review and check in process during the trial period is perceived to be applied inconsistently throughout the institution.
    - Some staff perceive receiving insufficient training that may contribute to a trial period warning and occasional termination rather than increased communication, training, and feedback processes.
  - Corrective Action
    - Some employees perceive that their leaders tend to follow the 'the letter of the law' (e.g., in relation to policy, legal considerations) without seeming to integrate the stated aspiration of the Corrective Action and Rules of Employee Conduct Policy, which speaks to inclusivity and employee support in achieving necessary improvement.
    - Some employees perceive a lack of authentic and objective checks and balances in the corrective action and associated appeal processes.

- o Promotion / Transfer
  - ▪ Staff applying for transfer or promotion within MCW have expressed concern that their current leader may have conflicts in supporting the employee's desired change in role, yet the leader's professional recommendation is required for such transfer.
  - ▪ Some long-term employees who are promoted or who transfer internally find that the required 12-month waiting period before further transfer limits opportunities for professional growth which may negatively impact employee retention.
- Faculty
  - o Some faculty are not aware of institutional checks and balances in the faculty non-renewal process, particularly when a leader may have a perceived conflict of interest in issuing a non-renewal.
  - o Some faculty pursuing clinician-educator or traditional promotion tracks find it difficult to fulfill promotion requirements, as protected time may be seen by some leadership as flexible and/or secondary to clinical demands. Others have commented that assistance provided by junior to senior faculty or work in the community should be taken into consideration for promotion and tenure across all tracks.
  - o Some faculty express concern that conflicts of interest may exist for members of departmental and institutional promotion and tenure committees, and there does not seem to be an expectation that committee members recuse themselves when such conflicts arise.

Ombuds Office Visitor Experience Survey: 2017-2020

The Ombuds regularly invite members of the MCW community to provide feedback about the services of the Ombuds Office via an anonymous visitor experience survey. The survey link is available on the Ombuds Office website and accompanies the email signature of all outgoing messages sent from Ombuds Office. Hard copies are typically provided to visitors seen in person, with stamped self-addressed envelopes for anonymous return. An email reminder with an embedded link to the survey was distributed to all faculty, staff, and postdoctoral fellows in December 2020.

During the 2020 calendar year, the Ombuds Office received 74 survey responses, including 26 surveys from visitors to the Office. Due to this small visitor sample size, survey results for 2020 were combined with those from prior years (2017-2020).

Most individual items on the survey were rated on a five-point scale, ranging from strongly agree to strongly disagree. A summary of survey items and response data in table form is included in Appendix B.

Visitor Satisfaction Survey

I would refer others to the Ombuds Office (195/311).

Overall, I am satisfied with the assistance I received from the Ombuds Office (192/268).

Through my interactions with the Ombuds Office, I developed skills or learned approaches that might help me resolve future problems…

I was given information which helped me to understand and evaluate the options available to me to address my concerns (193/250).

The Ombuds was fair and neutral (190/258).

The Ombuds Office is a safe, informal, and confidential resource (194/295).

There was enough time to discuss my situation (195/244).

I felt comfortable discussing my issues with the Ombuds (195/260).

I was able to speak with an Ombuds in a reasonable amount of time (194/250).

The Assistant to the Ombuds was professional, courteous, and respectful (179/253).

0% 10% 20% 30% 40% 50% 60% 70% 80% 90% 100%

■ All Respondents   ■ Visitors Only

The survey also invites open-ended feedback regarding the services of the Ombuds Office. Survey comments from 2020 were **largely positive**, with respondents **expressing appreciation** that MCW provides a confidential and informal resource for addressing their workplace concerns.

"I truly appreciate the experience I had with the Ombuds Office … I was treated with civility, understanding, and really felt listened to …. Having a neutral party with no experience or reference to my department, my manager, or my situation allowed my representative to gather information and compile that with her skills and understanding of the institution and craft feedback that was tailored specific to me with multiple options."

What Would You Have Done?

Visitors Only

22% — Left the organization
18% — Not talked with anyone about the issue
9% — Talked with my supervisor about the issue
12% — Brought the issue to a formal channel
14% — Not brought the issue up as quickly
11% — Changed positions within the organization
14% — Other (e.g., consult HR, seek legal action, ask a coworker for advice)

Comments from the 2020 survey also included a recurrent survey theme regarding **the role and authority** of an Ombuds Office.

"I appreciate that the Ombuds Office is available, and my entire experience with the Ombuds office was pleasant. However, my main concern is that the Ombuds Office ultimately is powerless to enact change. I sought guidance related to concerns that a specific leader on campus is being unprofessional … but unfortunately there are no courses of action to result in any meaningful change …. This is not the fault of the Ombuds Office."

The Ombuds' unique position as a confidential, impartial, independent, and informal resource limits some courses of action. The Ombuds Office standards represent best practices in organizational ombuds work and are the foundation for maintaining a safe forum to raise, inquire, and consult about any workplace concern. As advocates for open and respectful communication and fair processes, the Ombuds strive to be a resource for organizational learning and growth, encouraging people to be intentional and thoughtful in their work with one another.

Ombuds Outreach

The Ombuds work to build broad awareness, understanding, and trust in the Office mission and principles of practice. Outreach efforts in 2020 included:

- Participation in New Employee Welcome Sessions and New Faculty Orientations in person or by video.
- Email communication to faculty, staff, and postdocs about the Ombuds Office and its missions.
- Presentations to groups to provide information regarding the role of the Ombuds Office.
- Participation in Professionalism Week events.
- Introductory and follow-up meetings with leaders across the institution.
- Monthly virtual brown bag discussions on topics related to communication and conflict resolution instituted in November 2020.

The Ombuds Office is available for presentations to groups about matters related to the workplace, including:

- What Does the Ombuds Office Do? (20 minutes)
- Ombuds Office Annual Report (20 minutes)
- Building Group Emotional Intelligence (60 minutes)
- Promoting Respectful Communication: Beyond Policy (60 minutes)
- Thanks for the Feedback (60-90 minutes)
- Benevolent Sexism (60 minutes)
- Dignity and Equity in a Hierarchy (60-90 minutes)

- The Dynamics of the Leader-Follower Relationship (60 minutes)
- The (Negative) Power of Assumptions (30-45 minutes)
- Curiosity as a Tool for Complicated Conversations (45 minutes)

How to Contact the Ombuds Office

414-266-8776 (confidential line)
ombuds@mcw.edu
www.mcw.edu/Ombuds
Ombuds Visitor Experience Survey (anonymous)
Directions: Curative Buildling, Room 2512

Check out our blog, Ombuds2512, for tips for improving work relationships, handling conflict at work, and addressing other workplace issues.

INTERNATIONAL OMBUDSMAN ASSOCIATION
Reporting Categories
January 2020-December 2020

Questions, Concerns, Issues or Inquiries where Information or Options are Explored

	Category		Number	% of Category	% of Total	
1	**Compensation & Benefits** Questions, concerns, issues or inquiries about the equity, appropriateness and competitiveness of employee compensation, benefits and other benefit programs.					
	Sub-total		**26**		**2.1%**	
1.a	*Compensation (rate of pay, salary amount, job salary classification/level)*		14	54%		
1.b	*Payroll (administration of pay, check wrong or delayed)*		0	0%		
1.c	*Benefits (decisions related to medical, dental, life, vacation/sick leave, education, worker's compensation insurance, etc.)*		9	35%		
1.d	*Retirement, Pension (eligibility, calculation of amount, retirement pension benefits)*		0	0%		
1.e	*Other (any other employee compensation or benefit not described by the above categories)*		3	12%		
2	**Evaluative Relationships** Questions, concerns, issues or inquiries arising between people in evaluative relationships (i.e. supervisor-employee, faculty-student.)					
	Sub-total		**667**		**53.3%**	
2.a	*Priorities, Values, Beliefs (differences about what should be considered important - or most important –often rooted in ethical or moral beliefs)*		14	2%		
2.b	*Respect, Treatment (demonstrations of inappropriate behavior, disregard for people, rudeness, crudeness, etc.*		87	13%		
2.c	*Trust, Integrity (suspicion that others are not being honest, whether or to what extent one wishes to be honest, etc.)*		44	7%		
2.d	*Reputation (possible impact of rumors and/or gossip about professional or personal matters)*		23	3%		
2.e	*Communication (quality and/or quantity of communication)*		112	17%		
2.f	*Bullying, Mobbing (abusive, threatening, and/or coercive behaviors)*		8	1%		
2.g	*Diversity-Related (comments or behaviors perceived to be insensitive, offensive, or intolerant on the basis of an identity-related difference such as race, gender, nationality, sexual orientation)*		21	3%		
2.h	*Retaliation (punitive behaviors for previous actions or comments, whistleblower)*		56	8%		
2.i	*Physical Violence (actual or threats of bodily harm to another)*		0	0%		

2.j	**Assignments, Schedules** *(appropriateness or fairness of tasks, expected volume of work)*	61	9%	
2.k	**Feedback** *(feedback or recognition given, or responses to feedback received)*	21	3%	
2.l	**Consultation** *(requests for help in dealing with issues between two or more individuals they supervise/teach or with other unusual situations in evaluative relationships)*	1	0%	
2.m	**Performance Appraisal/Grading** *(job/academic performance in formal or informal evaluation)*	24	4%	
2.n	**Departmental Climate** *(prevailing behaviors, norms, or attitudes within a department for which supervisors or faculty have responsibility)*	69	10%	
2.o	**Supervisory Effectiveness** *(management of department or classroom, failure to address issues)*	47	7%	
2.p	**Insubordination** *(refusal to do what is asked)*	1	0%	
2.q	**Discipline** *(appropriateness, timeliness, requirements, alternatives, or options for responding)*	18	3%	
2.r	**Equity of Treatment** *(favoritism, one or more individuals receive preferential treatment)*	39	6%	
2.s	**Other** *(any other evaluative relationship not described by the above categories)*	21	3%	

3	**Peer and Colleague Relationships** Questions, concerns, issues or inquiries involving peers or colleagues who do not have a supervisory-employee or student-professor relationship (e.g., two staff members within the same department or conflict involving members of a student organization).			
	Sub-total	**76**	**6.1%**	
3.a	**Priorities, Values, Beliefs** *(differences about what should be considered important - or most important –often rooted in ethical or moral beliefs)*	4	5%	
3.b	**Respect, Treatment** *(demonstrations of inappropriate regard for people, not listening, rudeness, crudeness, etc.*	21	28%	
3.c	**Trust, Integrity** *(suspicion that others are not being honest, whether or to what extent one wishes to be honest, etc.)*	12	16%	
3.d	**Reputation** *(possible impact of rumors and/or gossip about professional or personal matters)*	6	8%	
3.e	**Communication** *(quality and/or quantity of communication)*	20	26%	
3.f	**Bullying, Mobbing** *(abusive, threatening, and/or coercive behaviors)*	4	5%	
3.g	**Diversity-Related** *(comments or behaviors perceived to be insensitive, offensive, or intolerant on the basis of an identity-related*	3	4%	

	difference such as race, gender, nationality, sexual orientation)		
3.h	*Retaliation (punitive behaviors for previous actions or comments, whistleblower)*	4	5%
3.i	*Physical Violence (actual or threats of bodily harm to another)*	1	1%
3.j	*Other (any peer or colleague relationship not described by the above categories)*	1	1%

4 Career Progression & Development

		Sub-total	**116**	**9.3%**
4.a	*Job Application, Selection and Recruitment Processes* (recruitment and selection processes, facilitation of job applications, short-listing and criteria for selection, disputed decisions linked to recruitment and selection)	10	9%	
4.b	*Job Classification and Description* (changes or disagreements over requirements of assignment, appropriate tasks)	9	8%	
4.c	*Involuntary Transfer, Change of Assignment* (notice, selection and special dislocation rights/benefits, removal from prior duties, unrequested change of work tasks)	1	1%	
4.d	*Tenure-Position Security, Ambiguity* (security of position or contract, provision of secure contractual categories), Career Progression (Promotion, Reappointment, or Tenure)	6	5%	
4.e	*Career Progression (promotion, reappointment, or tenure)*	20	17%	
4.f	*Rotation and Duration of Assignment* (non-completion or over-extension of assignments in specific settings/countries, lack of access or involuntary transfer to specific roles/assignments, requests for transfer to other places/duties/roles)	3	3%	
4.g	*Resignation* (concerns about whether or how to voluntarily terminate employment or how such a decision might be communicated appropriately)	9	8%	
4.h	*Termination/Non-Renewal* (end of contract, non-renewal of contract, disputed permanent separation from organization)	5	4%	
4.i	*Re-employment of Former or Retired Staff* (loss of competitive advantages associated with re-hiring retired staff, favoritism)	0	0%	
4.j	*Position Elimination (elimination or abolition of an individual's position)*	2	2%	
4.k	*Career Development/Coaching/Mentoring* (classroom, on-the-job, and varied assignments as training and developmental opportunities)	29	25%	

4.l	**Other** (any safety, health, or physical environment issue not described by the above categories)	22	19%

5	**Legal, Regulatory, Financial and Compliance** Questions, concerns, issues or inquiries that may create a legal risk (financial, sanction etc.) for the organization or its members if not addressed, including issues related to waste, fraud or abuse.		
	Sub-total	**48**	**3.8%**
5.a	**Criminal Activity** (threats or crimes planned, observed, or experienced, fraud)	0	0%
5.b	**Business and Financial Practices** (inappropriate actions that abuse or waste organizational finances, facilities or equipment)	4	8%
5.c	**Harassment** (unwelcome physical, verbal, written, e-mail, audio, video, psychological or sexual conduct that creates a hostile or intimidating environment) Gender: 4 Race:1	7	15%
5.d	**Discrimination** (different treatment compared with others or exclusion from some benefit on the basis of, for example, gender, race, age, national origin, religion, etc.[being part of an Equal Employment Opportunity protected category - applies in the U.S.]) Race/OPC: 9 Gender: 10	19	40%
5.e	**Disability, Temporary or Permanent, Reasonable Accommodation** (extra time on exams, provision of assistive technology, interpreters, or Braille materials including questions on policies, etc. for people with disabilities)	6	13%
5.f	**Accessibility** (removal of physical barriers, providing ramps, elevators, etc.)	0	0%
5.g	**Intellectual Property Rights** (e.g., copyright and patent infringement)	1	2%
5.h	**Privacy and Security of Information** (release or access to individual or organizational private or confidential information)	2	4%
5.i	**5.i. Property Damage** (personal property damage, liabilities)	0	
5.j	**Other** (any other legal, financial and compliance issue not described by the above categories)	9	19%

6	**Safety, Health, and Physical Environment** Questions, concerns, issues or inquiries about Safety, Health and Infrastructure-related issues.		
	Sub-total	**128**	**10.2%**
6.a	**Safety** (physical safety, injury, medical evacuation, meeting federal and state	12	9%

	requirements for safety training and equipment)			
6.b	**Physical Working/Living Conditions** *(temperature, odors, noise, available space, lighting, etc)*	4	3%	
6.c	**Ergonomics** *(proper set-up of workstation affecting physical functioning)*	0	0%	
6.d	**Cleanliness** *(sanitary conditions and facilities to prevent the spread of disease)*	1	1%	
6.e	**Security** *(adequate lighting in parking lots, metal detectors, guards, limited access to building by outsiders, anti-terrorists measures (not for classifying "compromise of classified or top secret" information)*	2	2%	
6.f	**Telework, Flexplace** *(ability to work from home or other location because of business or personal need, e.g., in case of man-made or natural emergency)*	12	9%	
6.g	**Safety Equipment** *(access to/use of safety equipment as well as access to or use of safety equipment, e.g., fire extinguisher)*	3	2%	
6.h	**Environmental Policies** *(policies not being followed, being unfair ineffective, cumbersome)*	3	2%	
6.i	**Work Related Stress and Work-Life Balance** *(Post-Traumatic Stress, Critical Incident Response, internal/external stress, e.g. divorce, shooting, caring for sick, injured)*	74	58%	
6.j	**Other** *(any safety, health, or physical environment issue not described by the above categories)*	17	13%	

7	**<u>Services/Administrative Issues</u>** Questions, concerns, issues or inquiries about services or administrative offices including from external parties.			
	Sub-total	**29**	**2.3%**	
7.a	**Quality of Services** *(how well services were provided, accuracy or thoroughness of information, competence, etc.)*	1	3%	
7.b	**Responsiveness, Timeliness** *(time involved in getting a response or return call or about the time for a complete response to be provided)*	3	10%	
7.c	**Administrative Decisions and Interpretation, Application of Rules** *(decisions about requests for academic or administrative services, e.g., exceptions to policy deadlines or limits, refund requests, appeals of library or parking fines, application for financial aid, etc.)*	15	52%	
7.d	**Behavior of Service Provider(s)** *(how an administrator or staff member spoke to or dealt with a constituent, customer, or client, eg., rude, inattentive, or impatient)*	9	31%	

7.e	**Other** *(any services or administrative issue not described by the above categories)*	1	3%	
8	**Organizational, Strategic, and Mission Related** Questions, concerns, issues or inquiries that relate to the whole or some part of an organization.			
	Sub-total	**119**	**9.5%**	
8.a	**Strategic and Mission-Related, Strategic and Technical Management** *(principles, decisions and actions related to where and how the organization is moving)*	3	3%	
8.b	**Leadership and Management** *(quality/capacity of management and/or management/leadership decisions, suggested training, reassignments and reorganizations)*	5	4%	
8.c	**Use of Positional Power, Authority** *(lack or abuse of power provided by individual's position)*	17	14%	
8.d	**Communication** *(content, style, timing, effects and amount of organizational and leader's communication, quality of communication about strategic issues)*	10	8%	
8.e	**Restructuring and Relocation** *(issues related to broad scope planned or actual restructuring and/or relocation affecting the whole or major divisions of an organization, eg. downsizing, offshoring, outsourcing)*	4	3%	
8.f	**Organizational Climate** *(issues related to organizational morale and/or capacity for functioning)*	12	10%	
8.g	**Change Management** *(making, responding or adapting to organizational changes, quality of leadership in facilitating organizational change)*	3	3%	
8.h	**Priority Setting and/or Funding** *(disputes about setting organizational/departmental priorities and/or allocation of funding within programs)*	10	8%	
8.i	**Data, Methodology, Interpretation of Results** *(scientific disputes about the conduct, outcomes and interpretation of studies and resulting data for policy)*	0	0%	
8.j	**Interdepartment, Interorganization Work, Territory** *(disputes about which department/organization should be doing what/taking the lead)*	49	41%	
8.k	**Other** *(any organizational issue not described by the above categories)*	6	5%	
9	**Values, Ethics, and Standards** Questions, concerns, issues or inquiries about the fairness of organizational values, ethics, and/or standards, the application of related policies and/or procedures, or the need for creation or revision of policies, and/or standards.			
9.a	**Sub-total**	**43**	**3.4%**	

9.b	**Standards of Conduct** *(fairness, applicability or lack of behavioral guidelines and/or Codes of Conduct, e.g., Academic Honesty, plagiarism, Code of Conduct, conflict of interest)*	12	28%
9.c	**Values and Culture** *(questions, concerns or issues about the values or culture of the organization)*	10	23%
9.d	**Scientific Conduct, Integrity** *(scientific or research misconduct or misdemeanors, e.g., authorship; falsification of results)*	8	19%
9.e	**Policies and Procedures NOT Covered in Broad Categories 1 thru 8** *(fairness or lack of policy or the application of the policy, policy not followed, or needs revision, eg., appropriate dress, use of internet or cell phones)*	2	
	Other *(Other policy, procedure, ethics or standards issues not described in the above categories)*	11	26%
TOTAL		**1252**	

Question (# Visitors Only /# All Respondents)	Visitors Only	All Respondents
The Assistant to the Ombuds was professional, courteous, and respectful (179/253).	98.88%	96.05%
I was able to speak with an Ombuds in a reasonable amount of time (194/250).	99.49%	96.40%
I felt comfortable discussing my issues with the Ombuds (195/260).	97.95%	91.53%
There was enough time to discuss my situation (195/244).	98.97%	96.72%
The Ombuds Office is a safe, informal, and confidential resource (194/295).	93.30%	84.06%
The Ombuds was fair and neutral (190/258).	92.63%	85.66%
I was given information which helped me to understand and evaluate the options available to me to address my concerns (193/250).	84.45%	80.00%
Through my interactions with the Ombuds Office, I developed skills or learned approaches that might help me resolve future problems (181/250).	67.41%	67.60%
Overall, I am satisfied with the assistance I received from the Ombuds Office (192/268).	80.21%	76.86%
I would refer others to the Ombuds Office (195/311).	87.18%	80.06%

If you had not used the Ombuds Office, what would you have done? (check all that apply; # Visitors Only / # All Respondents)	Visitors Only	All Respondents
Left the organization (61/83)	22.10%	18.28%
Not talked with anyone about the issue (50/82)	18.12%	12.11%
Talked with my supervisor about the issue (24/55)	8.70%	12.11%
Brought the issue to a formal channel (32/49)	11.59%	10.79%
Not brought the issue up as quickly (40/50)	14.49%	11.01%
Changed positions within the organization (30/44)	10.87%	9.69%
Other (e.g., consult HR, seek legal action, ask a coworker for advice; 39/91)	14.13%	20.04%