

APPENDIX 2

STATISTICAL OVERVIEW

In this Appendix, I provide a statistical overview of Appendices 3 through 10 of this report which contain detailed caseload information designed to inform the University community about the number and types of cases handled by the office last year, and of my responses to them, as well as comparative statistics related to the period July 1, 2001 to June 30, 2005. I remind readers again this year that since the caseload numbers are small (both in absolute terms and relative to the total University population), it is not generally feasible to draw conclusions from year-to-year variations in data.

1. Caseload by Constituency (Appendices 3 and 4):

- Total caseload: 297 (-1%) compared with 301 in 2004-05. The annual caseload has ranged from 367 to 288 over the past five years.
- 67 graduate student cases (22% of caseload), compared with 64 cases (21%) last year. The annual graduate student caseload has ranged from 64 to 87 over the past five years.
- 165 undergraduate/professional faculty student cases (56% of caseload), compared with 167 cases (56%) last year. The annual undergraduate student caseload has ranged from 130 to 203 over the past five years.
- 24 visitors were academic or administrative staff members (8% of total caseload), compared with 33 the previous year (11% of caseload)

2. Caseload by Issue (Appendix 5):

- 40% of students' issues were 'academic' in nature (that is, related to classes/teaching, petitions/appeals, grading practices and academic misconduct) – a higher percentage than last year's 33%
- 23 (8%) involved accusations of academic misconduct, compared with 11 (4%) last year
- 0 Code of Student Conduct cases for the third year in a row
- 61 (27% of student caseload) involved 3 or more issues per case, compared with 91 (39%) the previous year

3. Ombudsperson (Ombuds) Accessibility and Responsiveness (Appendices 6, 7 and 8):

- Ombuds Office website received 1684 visits, an increase of 17% over last year, and the highest number of the past five years.
- 236 website visits from the Mississauga campus (UTM), an increase of 36% over the previous year, and the highest number of visits of the past five years
- 115 website visits from the Scarborough campus (UTSC), an increase of 12% over previous year, and the highest number of visits of the past five years

- UTM's 32 cases represented 14% of the student caseload, compared with 20 cases (7%) last year
- UTSC's 22 cases represented 10% of the student caseload, compared with 20 cases (7%) last year
- Part-time students (18 files) represented 8% of student caseload, consistent with last year's 7%
- Two-thirds received same-day acknowledgement of initial contact with us (telephone/email/in-person), similar to previous two years' results
- 29% of those requesting meeting were scheduled same or next day, compared with 40% last year and 34% the previous year
- 50% of cases were open more than 7 days, compared with 61% last year and 50% the previous year

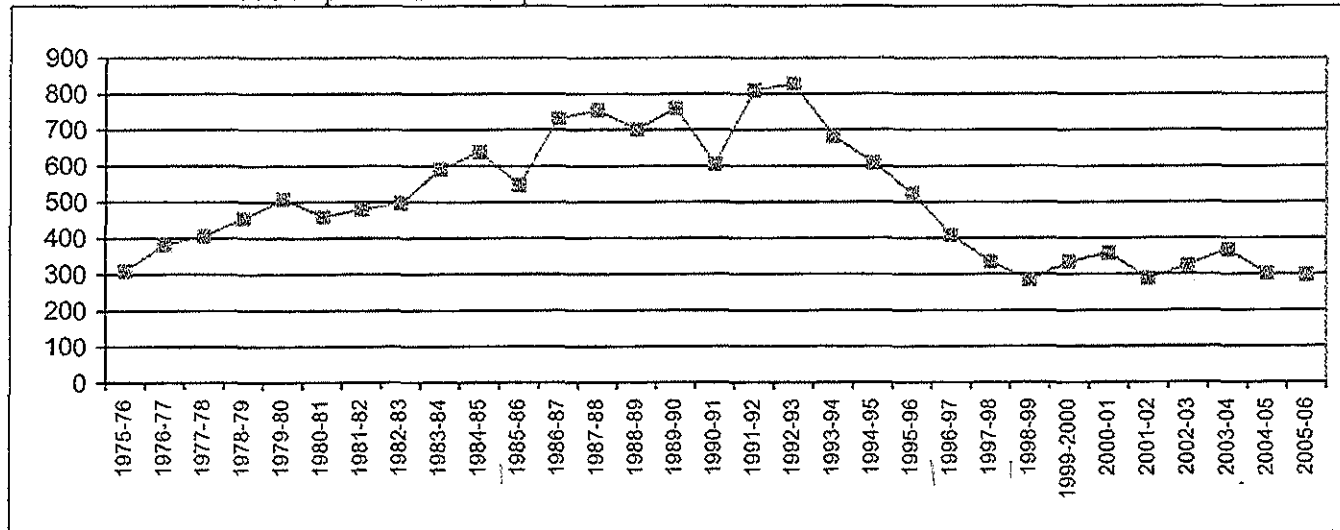
**4. Case Resolution/Assistance Provided/Action Taken
(Appendices 9 and 10):**

- 58 (19%) cases this year, and 62 cases (21%) last year, categorized as "expedited" or "resolved"
- 6 (2%) of cases remained open at year-end, compared with 2 (1%) last year and 9 (2%) the previous year
- 57 students' cases (25%) involved 3 or more 'interventions'; 54 cases (23%) last year
- 15% of all cases involved ombuds contact with university representative with whom visitor had concerns in order to help achieve resolution (25%) last year
- 9% of all cases (9% last year as well) involved Ombuds contacting multiple individuals within department/unit in seeking resolution
- 9% involved informal mediation (7% last year)
- 1% of all cases (4% last year) involved ombuds discussing concerns with university representatives re: possible trends/patterns/systemic issues

**APPENDIX 3
NUMBER OF CASES BY YEAR**

| Year | Number of Cases | Year | Number of Cases |
|---------|-----------------|---------|-----------------|
| 1975-76 | 310 | 1991-92 | 810 |
| 1976-77 | 382 | 1992-93 | 828 |
| 1977-78 | 406 | 1993-94 | 682 |
| 1978-79 | 454 | 1994-95 | 609 |
| 1979-80 | 508 | 1995-96 | 525 |
| 1980-81 | 459 | 1996-97 | 408 |
| 1981-82 | 480 | 1997-98 | 335 |
| 1982-83 | 497 | 1998-99 | 285 |
| 1983-84 | 592 | 1999-00 | 334 |
| 1984-85 | 639 | 2000-01 | 358 |
| 1985-86 | 547 | 2001-02 | 288 |
| 1986-87 | 734 | 2002-03 | 324 |
| 1987-88 | 754 | 2003-04 | 367 |
| 1988-89 | 701 | 2004-05 | 301 |
| 1989-90 | 760 | 2005-06 | 297 |
| 1990-91 | 605* | | 255 |

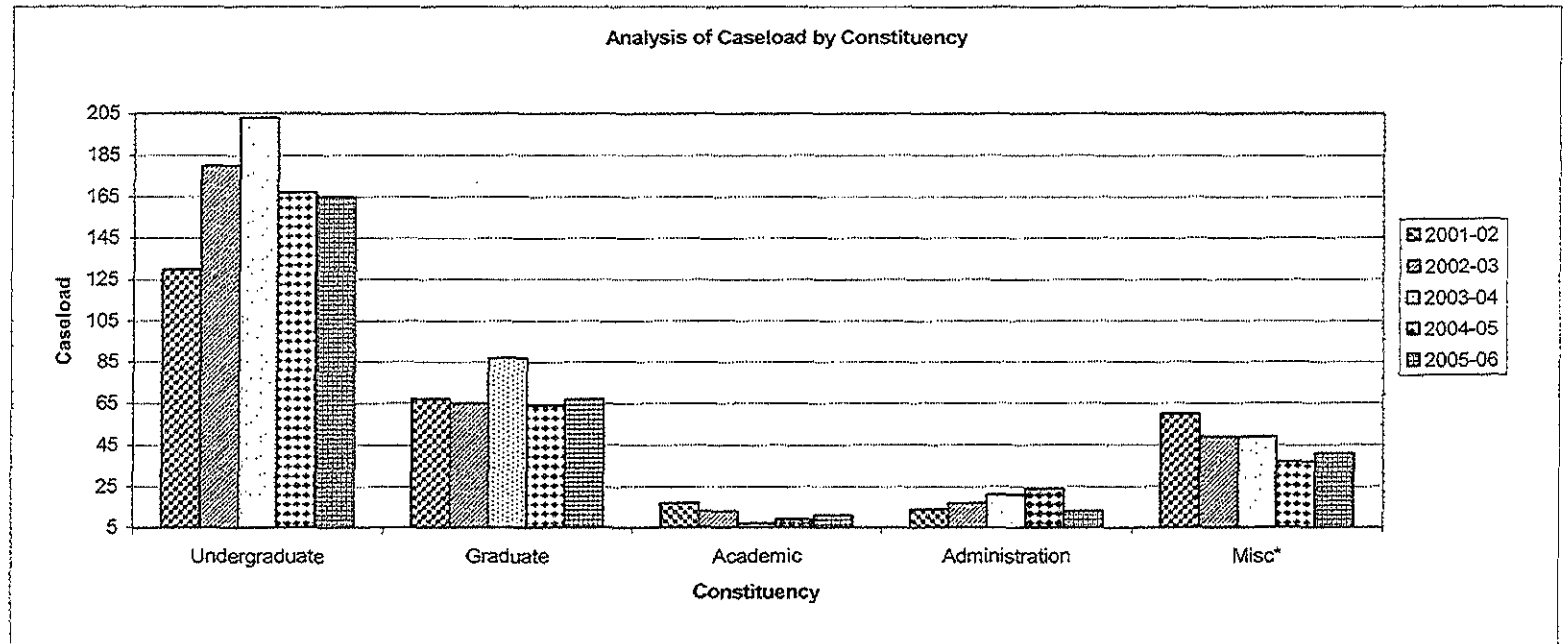
*1990-91 represents a 9-month period



**APPENDIX 4
ANALYSIS OF CASELOAD BY CONSTITUENCY**

| | Undergrad | Grad | Academic | Admin | Misc* | Total |
|---------|------------------|-------------|-----------------|--------------|--------------|--------------|
| 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%) |
| 2003-04 | 203 (55%) | 87 (24%) | 7 (2%) | 21 (6%) | 49 (13%) | 367 (100%) |
| 2004-05 | 167 (56%) | 64 (21%) | 9 (3%) | 24 (8%) | 37 (12%) | 301 (100%) |
| 2005-06 | 165 (56%) | 67 (22%) | 11 (4%) | 13 (4%) | 41 (14%) | 297 (100%) |

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



APPENDIX 5
STUDENT CASELOAD BY ISSUE
JULY 1, 2005 TO JUNE 30, 2006
(FOR 291 CASES CLOSED BY JULY 14, 2006)

| Type of Issue* | Total (Undergrad & Grad) | | Undergrad | Grad |
|---|-----------------------------|-----|-----------|------|
| 1. Policy Interpretation/Advice | 146 | 50% | 100 | 46 |
| 2. Academic Concerns (eg. Classes/Teaching) | 41 | 14% | 31 | 10 |
| 3. Academic Policy/Procedure (eg. Petition Denials) | 43 | 15% | 40 | 3 |
| 4. Administrative Policy/Procedure (eg. Access/Bureaucracy Issues) | 28 | 10% | 22 | 6 |
| 5. Grading Dispute/Concern | 32 | 11% | 24 | 8 |
| 6. Fees/Financial Aid | 19 | 7% | 12 | 7 |
| 7. Interpersonal Dispute (eg. Supervision) | 28 | 10% | 2 | 26 |
| 8. Concern re Harassment or Discrimination | 26 | 9% | 16 | 10 |
| 9. Accused of Policy/Legal Violation (Codes) | 23 | 8% | 19 | 4 |
| 10. Admissions | 11 | 4% | 9 | 2 |
| 11. Miscellaneous | 28 | 10% | 21 | 7 |
| 12. Residence/Housing | 14 | 5% | 11 | 3 |
| 13. Library Issues (book returns, fines) | 1 | 1% | 1 | - |
| 14. Employment/Workplace Dispute | 13 | 4% | 2 | 11 |

| # Issues per Case | Undergrad (161) | | Grad (65) | |
|-------------------|-----------------|-----|-----------|-----|
| 1 | 51 | 32% | 8 | 12% |
| 2 | 70 | 43% | 36 | 55% |
| 3 | 31 | 19% | 18 | 28% |
| 4 | 7 | 2% | 2 | 3% |
| 5 | 2 | 1% | 1 | 1% |

| *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 6

Summary Report for the Office of the Ombudsperson Website

The number of hits is based on an analysis of the U of T web server logs and should be used with some caution. In general, the number represents a lower limit. The number of hits does not represent the number of "page views". For example, some ISPs "cache" pages (i.e., save a copy of a webpage on a "local" computer) as do most web browsers. A cached page can be accessed faster than a remote page (thus improving the customer experience) but does not contribute to the hit count.

The number of hits is accumulated over all pages in the Ombudsperson's website—if an individual visits three different pages, it counts as three hits. Excluded from the count are hits from the Ombudsperson's Office, the Information Commons Digital Studio (which maintains the Ombudsperson's website), and the U of T search engine.

The number of hits from known U of T networks gives some measure of how actively the Ombudsperson's website is being viewed. This does not necessarily represent the number of different individuals viewing the website. For example, several different people may be using the same computer in the Public Access Facility in the Information Commons or one person may scan the same page many times over a period of time.

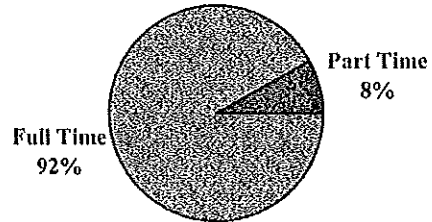
This report was prepared by the ScotiaBank Information Commons Digital Studio.

| Source | Month | | | | | | | | | | | | Total |
|---------------|-------|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-----|-------|
| | Jul | Aug | Sep | Oct | Nov | Dec | Jan | Feb | Mar | Apr | May | Jun | |
| UofT 05/06 | 142 | 95 | 213 | 175 | 184 | 93 | 99 | 108 | 192 | 151 | 157 | 75 | 1,684 |
| UofT 04/05 | 95 | 137 | 100 | 96 | 113 | 90 | 146 | 157 | 173 | 114 | 97 | 122 | 1,440 |
| UofT 03/04 | 108 | 104 | 172 | 136 | 98 | 61 | 110 | 137 | 131 | 127 | 135 | 81 | 1,400 |
| UofT 02/03 | 90 | 96 | 114 | 109 | 184 | 87 | 139 | 147 | 143 | 105 | 124 | 85 | 1,423 |

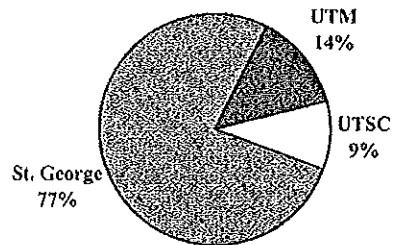
| Year | UTM | UTSC |
|-------|-----|------|
| 05/06 | 236 | 115 |
| 04/05 | 174 | 103 |
| 03/04 | 170 | 48 |
| 02/03 | 206 | 77 |

APPENDIX 7
ACCESSIBILITY MEASURES
JULY 1, 2005 TO MARCH 31, 2006

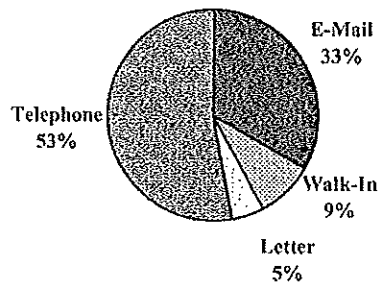
Part-time Student Caseload



Caseload by Campus



Count by Initial Contact



APPENDIX 8
CASE MANAGEMENT: ACCESSIBILITY & RESPONSIVENESS

July 1, 2005 to June 30, 2006

TOTAL CASES: 297

| Time to Initial Ombuds Office Response | % of Clients |
|---|---------------------|
| Within 3 hours | 58 |
| Later same day | 8 |
| Following day | 25 |
| 2-3 days | - |
| 4-7 days | 2 |
| Other (longer than 7 days) | 3 |
| N/A* | 4 |
| Total (297 clients) | 100% |

| Time to First Appointment | % of Clients |
|---|---------------------|
| Same day | 12 |
| Next day | 17 |
| 2-3 days | 31 |
| 4-7 days | 22 |
| Other (longer than 7 days) | 17 |
| Total (195 scheduled appointments) | 100% |

| Time to Resolution | % of Clients |
|--|---------------------|
| One day | 18 |
| 2-3 days | 12 |
| 4-7 days | 20 |
| 8-14 days | 8 |
| 15-31 days | 20 |
| Other (longer than 1 month) | 22 |
| Total (office active/involved in 291 cases) | 100% |

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

APPENDIX 9
ANALYSIS OF CASELOAD BY ACTION TAKEN & STAFF RESOURCES

| Year | Information/ Referral | Expedited | Resolved | No Action Required | No Jurisdiction | Incomplete | Total | Staff (FTE) Resources |
|---------|--------------------------|-----------|----------|-----------------------|--------------------|------------|------------|--------------------------|
| 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 |
| 2003-04 | 201 (55%) | 24 (7%) | 60 (16%) | 47 (13%) | 26 (7%) | 9 (2%) | 367 (100%) | 1.5 |
| 2004-05 | 162 (54%) | 15 (5%) | 47 (15%) | 55 (18%) | 20 (7%) | 2 (1%) | 301 (100%) | 1.5 |
| 2005-06 | 177 (60%) | 21 (7%) | 37 (12%) | 36 (12%) | 20 (7%) | 6 (2%) | 297 (100%) | 1.5 |

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

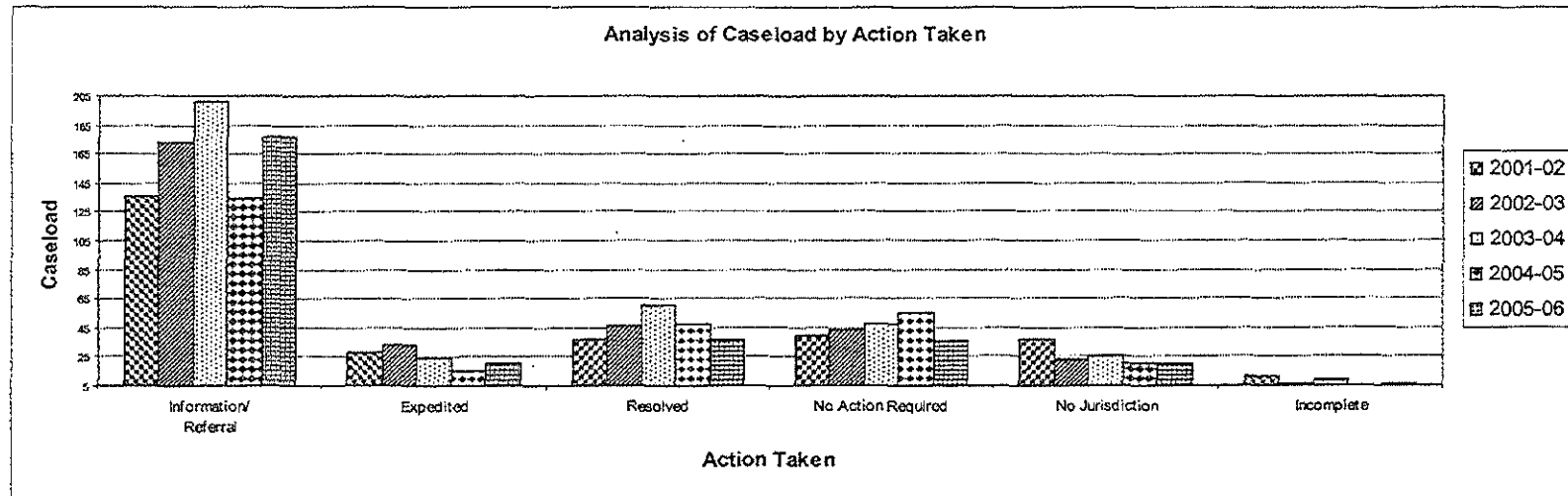
Expedited Resolution of relatively simple "red-tape" problems, such as arranging an exception to a rule in a particular case, speeding up consideration of a routine matter, securing an explanation of a decision, arranging a meeting with the appropriate official, or unsnarling difficulties which occurred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

Resolved A concern 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 concern 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, 2006.



APPENDIX 10
CASELOAD BY ASSISTANCE PROVIDED
JULY 1, 2005 TO JUNE 30, 2006
(FOR 291 CASES CLOSED BY JULY 14, 2006)

| Type of Intervention/Resolution/Assistance* | Total | | Undergrad | Grad | Academic | Admin | Misc |
|---|-------|-----|-----------|------|----------|-------|------|
| 1. Individual Consultations | 183 | 63% | 106 | 54 | 10 | 10 | 3 |
| 2. Mediation/Facilitation | 27 | 9% | 19 | 8 | - | - | - |
| 3. Department/Unit Consultation Request | 25 | 9 | 19 | 6 | - | - | - |
| 4. Ombuds Contacted Persons/Offices | 45 | 15% | 32 | 10 | - | - | 2 |
| 5. Reporting Trends | 5 | 1% | 4 | 1 | - | - | - |
| 6. Information/Referral | 242 | 83% | 132 | 58 | 11 | 10 | 31 |
| 7. None (No Show/Cancellation) | 43 | 15% | 25 | 4 | - | 3 | 11 |

| Number of Interventions | Undergrad (161) | Grad (65) | Academic (11) | Admin (13) | Misc (41) |
|-------------------------|-----------------|-----------|---------------|------------|-----------|
| 0-1 | 50 | 9 | 1 | 3 | 36 |
| 2 | 67 | 43 | 9 | 10 | 4 |
| 3 | 27 | 7 | 1 | - | 1 |
| 4 | 13 | 5 | - | - | - |
| 5 | 4 | 1 | - | - | - |

***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.

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

**Administrative Response
to the
Report of the University Ombudsperson: 2005-06**

Overview:

This administrative response is made in accordance with the direction made by Governing Council that the University Administration respond annually to the Ombudsperson's Report.

Response:

The Administration thanks the Ombudsperson for her dedicated work on behalf of the University of Toronto community, and wishes to convey its' appreciation for the effective and collegial way in which she has conducted her work over the course of the last 8 years since her appointment in 1998. This has involved work on more than 2500 files. She has also made 25 recommendations to the University Administration related to policy and process issues in successive annual reports. The Ombudsperson notes that the Administration has responded to 24 of these recommendations through policy and organizational initiatives, with one policy review currently on-going.

The Ombudsperson's 2005-06 Report provides a comprehensive summary of her office's activities over the previous year. This year's Report contains an updated account of the Administration's responses to the recommendations raised in previous reports and identifies two areas where specific recommendations are made.

The first relates to the *Code of Behaviour on Academic Matters* (1995). An administrative review of the *Code of Behaviour on Academic Matters*, is currently being undertaken by the Office of the Vice-President and Provost. There has already been wide consultation with divisions across the university to identify recurring issues with the administration of the Code, including timeliness, consistency and other process concerns. The next stage of the process will focus on addressing the issues raised through the development of best practice guidelines and training for those responsible for the administration of the Code at divisional levels.

The Administration agrees with the Ombudsperson's recommendation that there is a need for proactive promotion of the institutional value of academic integrity. Part of this consultation involves discussion of the need for integrating education and discussion of academic integrity issues as a fundamental and intrinsic part of our academic programs at all levels of the institution. The Office of Teaching Advancement has developed a web-site on Academic Integrity which provides an overview of academic integrity issues and resources for faculty, teaching assistants and students. Faculty, departments, and divisions are encouraged to reference this site on course outlines, in departmental

handbooks and web sites, and in any other materials developed for students and faculty. (<http://www.utoronto.ca/academicintegrity>)

The second recommendation concerns the creation of a *Safety Abroad Policy*. An initial draft of this policy was produced by the International Student Exchange Office. As consultations proceeded it was determined that it should be developed in parallel with amendments to the *Policy for Safety in Field Research* (1988). Furthermore, during the past year, the Office of the Vice-President Research and Associate Provost undertook a review of all policies relating to research matters at the University of Toronto, with the aim of ensuring full compliance with external agency guidelines and current practice. As a result recommendations have been made regarding the *Policy for Safety in Field Research* to revise it to better reflect off-campus research and study, and to address teaching, research and insurance issues. Both policies will now be developed jointly through the Offices of the Vice-President Human Resources & Equity, Vice-President Research and Associate Provost, Vice-Provost Students and Vice-Provost Graduate Studies which will collate the necessary information and recommend specific changes to revise the policies as required. In addition to a revised *Safety Abroad Policy*, we will also develop a *Safety Abroad Manual* which will identify best practices in this area. Recommended changes to these policies will be brought through governance during 2007.

It is pleasing to see a further small decline in the total number of cases dealt with by the Office of the Ombudsperson with a significant decline in the non-academic issues brought to her attention. This evolution is noteworthy. It can support the argument that everything is working better than in the past; or, it might equally reflect a dynamic situation in the context of an increased number of equity officers working at the University of Toronto. It is entirely possible, and in fact this is suggested by the Ombudsperson, that individuals who in the past might have seen the Ombudsperson's Office as their only option, are now able to have issues effectively addressed by other University offices.

The Ombudsperson also acknowledges that her office and the Administration are working co-operatively and in a timely manner when issues do arise, and that they share a common view on areas that previously deserved the most attention. This indicates definite progress for which we should all be proud.

The Administration will continue its commitment to invest in the communication of information, the dissemination of best practices, and the training of administrators to ensure that issues that may arise are dealt with in a timely and effective manner.