

**REPORT OF THE UNIVERSITY OMBUDSPERSON  
FOR THE PERIOD JULY 1, 2005 TO JUNE 30, 2006**

**Mary Ward  
October 2006**

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**Report of the University Ombudsperson**  
**For the period July 1, 2005 to June 30, 2006**

**I. INTRODUCTION**

My annual report this year provides an overview of the activities of my Office for the period July, 2005 to June 30, 2006, including the usual statistical summaries of the issues brought to my attention, and of my responses to them. Since this represents my final annual report, I have included an updated account of the administration's responses to the recommendations I have made since my initial appointment in 1998, in terms of those issues that remain outstanding and that warrant additional attention at this time.

**II. STATISTICS AND HIGHLIGHTS**

There were a total of 297 queries and concerns brought to my attention by students, faculty and administrative staff members last year, similar in number to the previous year's 301 cases. The caseload average since 2001 is 315. In Appendix 2, I provide a statistical overview of Appendices 3 through 10 of this report. Appendices 3 through 10 contain detailed and comparative caseload information, as well as accountability information related to my Office's service delivery and responsiveness. Since 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 the data.

**III. CASELOAD HIGHLIGHTS**

**1. Academic Issues (Appendices 2 through 5):**

Forty percent of students' issues (compared with 33% of students' issues last year) could be categorized as 'academic' in nature, including: "Academic Concerns (eg. Classes/Teaching)", "Academic Policy/Procedure (eg. Petition Denials)", "Grading Dispute/Concern" i.e. grading practices, and "Accused of Policy Violation" i.e. academic misconduct. Early involvement on our part can often facilitate satisfactory resolution of concerns and queries, and hopefully help to prevent escalation/premature escalation to more formal appeal processes.

**2. 'Non-Academic' Issues (Appendix 5):**

This year, we experienced a significant decline (more than 50%) in the 'non-academic' issues brought to our attention in the following two categories: "Administrative Policy/Procedure (eg. Access/Bureaucracy Issues)" and "Fees/Financial Aid". For the three 'non-academic' categories most typically involving the more complex and/or sensitive campus-based issues, including: "Interpersonal Dispute (eg. Supervision)"; "Concern re: Harassment or Discrimination", and "Employment/Workplace Dispute", the number of student cases (67) was similar to last year (65).

**3. Academic and Administrative Staff Issues (Appendix 10):**

Many academic and administrative staff members have expressed their appreciation of my Office's availability as a confidential and impartial consultation resource. Over the

last five years, academic and administrative staff concerns have ranged from 8% to 11% of my total caseload, or from 24 to 33 complaints and queries per year. Academic and administrative staff members (mostly from the “Professionals and Managers” and “Confidentials” groups) consult my office about a wide range of issues and concerns, but for the most part, their requests for assistance focus on policy/process, and/or on how best to approach problems or concerns involving particular colleagues or students.

#### **IV. OMBUDSPERSON’S INVOLVEMENT**

##### **1. Service Delivery and Timing (Appendices 2 and 8):**

The turn-around time for our initial response to community members’ contact with our office was virtually identical to that of the previous two years in that two-thirds received acknowledgement (‘call-back’) on the same day. Sixty percent of our visitors had their first scheduled meetings within 3 days of their original contact with the office. The overall complexity of the caseload is reflected in our ‘time to resolution’ measure. We note that 42% of our cases remained open longer than 14 days, compared with last year’s 47% and the previous year’s 36%.

##### **2. Support Provided and/or Action Taken (Appendices 2, 9 and 10):**

“Information/referral” cases accounted for 60% of our cases. Of these 177 cases, basic “Referral” triaging amounted to 27 files (9% of the total caseload). For the 150 “Information” cases, the individual was supported through information and advice, but no intervention took place. Visitors to the office are encouraged, whenever possible, to resolve concerns directly with the other parties involved. Many of these ‘advice’ cases involve more than one contact with the individual and, in some cases, numerous contacts. According to feedback we receive, including surveys returned to us anonymously, our visitors appreciate the opportunity my Office provides for them to be heard and understood, and our assistance in helping them think through their options and approaches, leaving them free to make their own decisions about how best to proceed.

In terms of the types of action taken on cases, the Ombuds Office ‘intervened’ (Appendix 8 – “Expedited” and “Resolved”) in about the same number of cases as the previous year (58/19% of the caseload, compared with 62/20% of the caseload). The term ‘intervention’ is used when the Ombuds Office approaches an individual(s) or an office(s) in an effort to resolve a concern. Appendix 10 – “Caseload by Assistance Provided” provides a number of types of interventions. For example, I contacted a divisional representative to request clarification concerning what was happening in a particular case, or to inquire about a delay, or to suggest that someone consider meeting with the student or employee in a total of 45 cases last year (15%). Another category of intervention (“Department/Unit Consultation Request”) captures those situations in which I more thoroughly reviewed the matter through contact with a number of University representatives, and/or attempted to actively resolve the case through some form of negotiation, often including the provision of new and/or reframed information. In those situations, I may make informal recommendations based on my view of the merits of the case. This occurred in a total of 25 (9%) of my cases. In an additional 9% of the cases (27), I was involved in informal mediation between two (or more) parties in an effort to

resolve a conflict or dispute. And finally, the category entitled “Reporting Trends” refers to those instances when, as the result of a particular case or of a number of visitors approaching me with similar concerns, it appeared that an emerging pattern (which, in some instances, could signal a systemic problem) warranted additional consultation with an administrator(s) to discuss what further action might be required, and the timing of that action. Last year, this occurred in 5 cases (1% of my caseload).

## V. ACCOUNT OF RECOMMENDATIONS MADE AND ADMINISTRATION’S RESPONSES

In my reports since 1999, I have made more than 25 recommendations related to significant policy or procedural change. In my report last year, I listed 22 University policy and organizational initiatives, introduced since 1999, that have served to address and/or alleviate issues raised in my previous annual reports related to undergraduate/professional faculty students, graduate students and administrative and academic staff members. I also indicated in last year’s report that three additional initiatives were scheduled to move forward for approval during the 2005-2006 governance cycle. Two of these initiatives did so, including the revised *Guidelines for Academic Appeals Within Divisions* and the new *Policy on Student Housing*.

This leaves outstanding two important issues; one relating to the *Code of Behaviour on Academic Matters* that I raised initially in my 1999-2000 report, and the other relating to the *Safety Abroad Policy* that I raised initially in my 2001-2002 annual report. I have also referred to both of these topics of concern in each of my subsequent annual reports.

### ***1. Code of Behaviour on Academic Matters:***

In its Administrative Response dated November 2004, the Administration stated the following with respect to the *Code of Behaviour on Academic Matters*:

“We have consulted with the Judicial Affairs Officer in the Governing Council Secretariat with respect to the *Code of Behaviour on Academic Matters*, [and] the Provost has established a group to discuss the Code and its administration. That group could be asked to report in the spring of 2005, and recommend whether revisions to the Code are necessary and/or recommend the development of administrative guidelines for those responsible for administering the code.”

Earlier this year, given the increase in the number of students (those concerned about Code process issues for allegations made against them, as well as those concerned about Code process issues related to their academic misconduct allegations against faculty members) as well as instructors who visited my office with concerns and queries related to the *Code of Behaviour on Academic Matters*, I met with a number of representatives from one of the largest academic divisions of the University to discuss shared concerns about academic misconduct at the University (according to one of these representatives, these cases are increasing “at a rate higher than the rate of enrolment increases at the University”).

**Recommendation:**

**That, as part of any current and ongoing review of the 1995 *Code of Behaviour on Academic Matters* and the administrative guidelines associated with it (related to campus-wide timeliness and consistency in Code implementation), the administration more actively explore ways of promoting the institutional norm/core value of academic integrity (eg. through its multi-faceted communication network including academic calendars, course outlines, academic handbooks, websites, faculty and staff training and orientation sessions, student peer publications etc.), and of reducing the incidence of academic dishonesty (i.e. decreased opportunities combined with increased detection and reporting<sup>1</sup>).**

**2. *Safety Abroad Policy:***

In its Administrative Response dated November 2004, the Administration stated, with respect to the *Safety Abroad Policy*:

“The International Student Exchange Office is currently in the process of creating a Safety Abroad Policy for the University, which will establish a University-wide standard regarding risk assessment, preparation of students participating in out-of-country activities, and an effective emergency response system. Inherent in the Policy will be the combined recognition of the importance of students participating in international activities, and the legal and ethical duties of the University in promoting a safe environment for the participants. In conjunction with the Policy, the intent is to produce a Safety Abroad Manual, which can be updated regularly to reflect changing best practices in the field.

The Policy is in its first draft. We intend to have the Policy ready for review by governance early in 2005, following consultation with relevant groups on campus, among them the School of Graduate Studies, the Faculty of Arts and Science, the Faculty of Forestry, the Faculty of Medicine and OISE/UT.”

**Recommendation:**

**That the administration schedule for completion during the current governance cycle its consultation and policy development and approval process, outlined above, with respect to the proposed new *Safety Abroad Policy*.**

## VI. CONCLUDING REMARKS

This is the eighth annual report that I have prepared since my appointment in July 1998. During that time, I have worked on more than 2500 files resulting in more than 25 recommendations to the University administration related to policy and process issues.

During this period, the University has been home to numerous important changes including its most senior administration and administrative structures and its tri-campus organizational structures. Numerous policies, guidelines and practices have been introduced, and others revised to improve academic procedures and to streamline

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<sup>1</sup> “Understanding Student Cheating and What Educators Can Do About It”, Patricia A. Hutton, College Teaching Washington: Winter 2006. Vol. 54, Iss. 1, p. 171-176 (6 pp.).

processes. Two years ago, the University established a broadly representative Equity Advisory Board whose membership includes the Equity Officers, student government representatives, faculty and administrative staff representatives, myself and numerous other community members with particular interest in institutional equity and fair practice and process. Improvement in communication by the University with its community members, long recognized as a major challenge in such a large, complex and decentralized institution, has been clearly identified as an ongoing priority.

We too have introduced many operational improvements at the Office of the University Ombudsperson over the past eight years, including the development and implementation of our website ([www.utoronto.ca/ombudsperson](http://www.utoronto.ca/ombudsperson)); of other communications materials such as our telephone information system, posters, bookmarks and calendar/handbook/newspaper announcements and inserts; of our *ad hoc* broadly-based consultation network, and of numerous service evaluation and accountability measures as published in my annual reports and at our website. Earlier this year, the Governing Council implemented its end-of-term operational review in accordance with the current Terms of Reference of the Office of the University Ombudsperson and, as I understand it, the review committee's report and recommendations will be presented to the Governing Council for its consideration in the very near future.

As I approach the end of my appointment here as University Ombudsperson, I would like to comment on how proud I am to have served the University of Toronto community in this capacity. It has been my experience during these past eight years that the majority of the University community members with whom I've been involved have been increasingly aware of issues involving procedural fairness; responsive in terms of acting promptly to remedy defects in process that come to light, and appreciative of suggestions for improving communications with students, faculty and staff, and for any assistance in resolving conflict and disputes. Since I am also approaching the end of a seventeen-year career at the University (having participated previously as a senior member of the University's very successful advancement team), I would like to comment as well on the many, many opportunities and experiences I've enjoyed here both in terms of my career, and of my time as an undergraduate and graduate student.

I look forward to taking the experience I've gained from serving as Ombudsperson within such a large and highly decentralized academic environment, and applying it within a very different context. I am very pleased to have been recruited to initiate the first ombuds operation at Baycrest, one of the University of Toronto's fully-affiliated academic health sciences center.

Mary Ward  
October 2006

## APPENDIX 1

### Terms of Reference for The Office of the University Ombudsperson (2001)

#### Status/Authority

1. The Ombudsperson is appointed by the Governing Council on the recommendation of the President; is accountable to the Governing Council and has unrestricted access to all University authorities. The Office of the Ombudsperson shall be independent of all existing administrative structures of the University.

#### Mandate

2. The Ombudsperson investigates, in an impartial fashion, complaints that may arise against the University or against anyone in the University exercising authority. It shall be the special concern of the Ombudsperson that:
  - a. the rights and responsibilities of members of the University community are adequately defined and publicized;
  - b. any gaps and inadequacies in existing University policies and procedures that affect the ability of individuals to function as members of the University community or which might jeopardize their human rights and civil liberties be brought to the attention of the proper authority;
  - c. the problems of members of the University community are addressed with reasonable promptness;
  - d. procedures used to reach decisions are adequate and that the criteria and rules on which the decisions in question are based are appropriate and adequately publicized.

#### Investigations

3. Complaints may be made by any member of the University community (students and members of the teaching or administrative staffs) or by former members of the teaching or administrative staffs or student body (in respect of matters arising out of their former University employment or student status). Investigations may also begin on the independent initiative of the Ombudsperson in respect of anyone of the above entitled to make a complaint.
4. The Ombudsperson may decline to initiate an investigation on the grounds that it is frivolous or vexatious.
5. In conducting investigations, the Ombudsperson shall act in an impartial fashion.



6. The role of the Ombudsperson shall include:
  - a. ensuring that information on proper University procedures for problem resolution is provided and distributed as broadly as possible throughout the University community, and that clients understand their routes of access to this information;
  - b. informing clients about appropriate processes available to them within the context of specific complaints, and providing information on the appropriate kind of supporting documentation;
  - c. expediting the process toward conflict resolution;
  - d. investigating only after attempts at resolution through existing administrative channels have been concluded.
7. Even though wide latitude has been granted in making public any findings and recommendations, the Ombudsperson shall not set aside the request of complainants that their anonymity be preserved.

#### **Findings/Reports**

8. After conducting an investigation, the Ombudsperson may draw conclusions about the complaint investigated and make findings and recommendations concerning its resolution, particularly in relation to the mandate of the Office as set out in 2 above.
9. In drawing conclusions and making recommendations, the Ombudsperson shall not make University policy or replace established legislative, judicial or administrative rules or procedures, although any or all of these may be investigated or questioned and such recommendations made as appropriate for their improvement and efficient functioning.
10. The Ombudsperson shall bring findings and recommendations to the attention of those in authority by the most expeditious means possible, and to the University community at large to the extent that is appropriate.
11. The Ombudsperson shall make an annual report to the University community through the Governing Council, and such other special reports as may be required from time to time by the Governing Council.

#### **Relationship with Other University Activities and Services**

12. The Ombudsperson shall have access to such official files and information as is required to fulfill the function of the Office. Requests by the Ombudsperson for information must receive priority from every member of the University community.

13. Where means exist in other University offices for the resolution of complaints or the provision of information the Ombudsperson shall direct enquirers to such offices and emphasize their responsibility for initiating the appropriate actions and for returning to the Ombudsperson if not satisfied with the results. The Ombudsperson shall cooperate with other offices that are particularly concerned with the provision of information to the University community on policies and procedures.

#### **Files**

14. The Ombudsperson shall maintain suitable records of complaints, findings and recommendations and these shall be accessible only to the Ombudsperson and members of the staff of the Office of the Ombudsperson.
15. Each file and record will be maintained for a period of seven years and one day from the date on which the Ombudsperson deems the case to be completed. At the end of the period of seven years and one day, the file or record may be destroyed; however, no destruction of the file or record will take place while any proceedings are pending in the University, the Courts or any outside tribunal and until after all rights of appeal are exhausted or times of appeal have expired.
16. The Ombudsperson shall not release any information regarding personal and personnel records, unless written permission has been received from the affected persons for releasing the information.

#### **Review/Appointment**

17. The Office of the Ombudsperson shall be reviewed on a regular basis, in the middle of the incumbent's term as well as coincident with the end of the incumbent's term, in a manner to be determined by the Executive Committee of the Governing Council. The normal term of the Ombudsperson should be for five years, with the possibility of reappointment. Candidates for the Office shall be identified by a search committee highly representative of the University community and including students and members of the teaching and administrative staff.

May 31, 2001

## **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

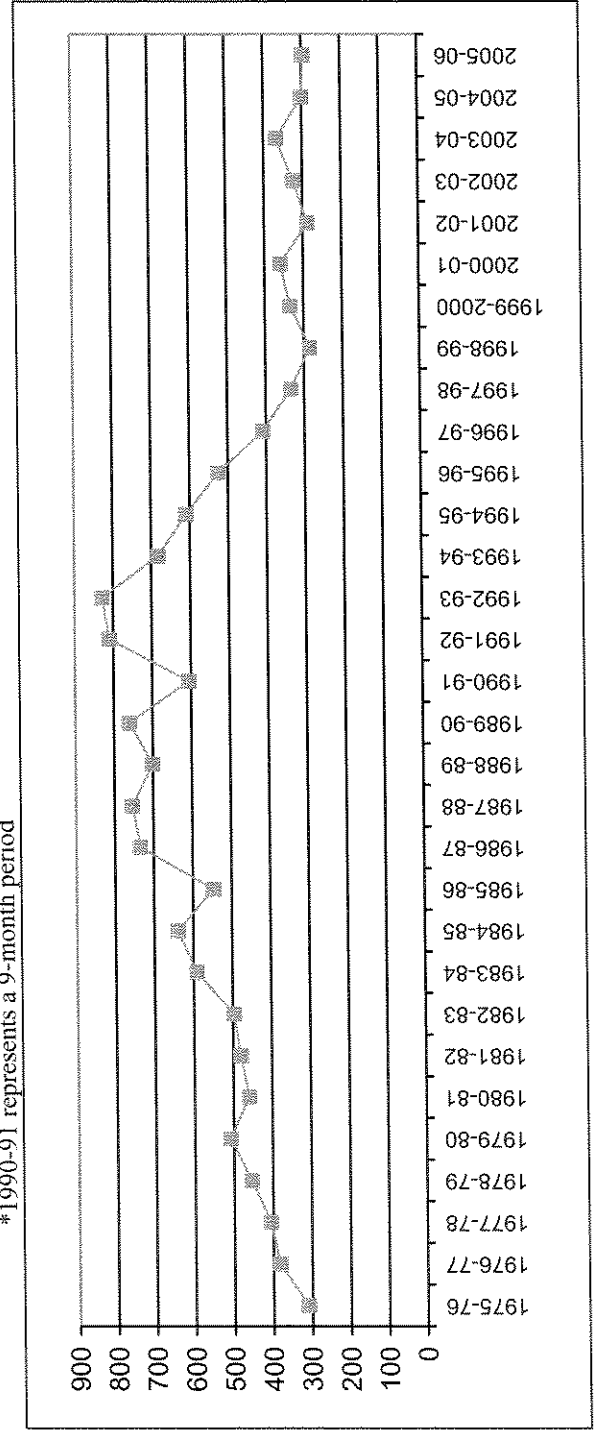
**4. Case Resolution/Assistance Provided/Action Taken  
(Appendices 9 and 10):**

- 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*		

\*1990-91 represents a 9-month period

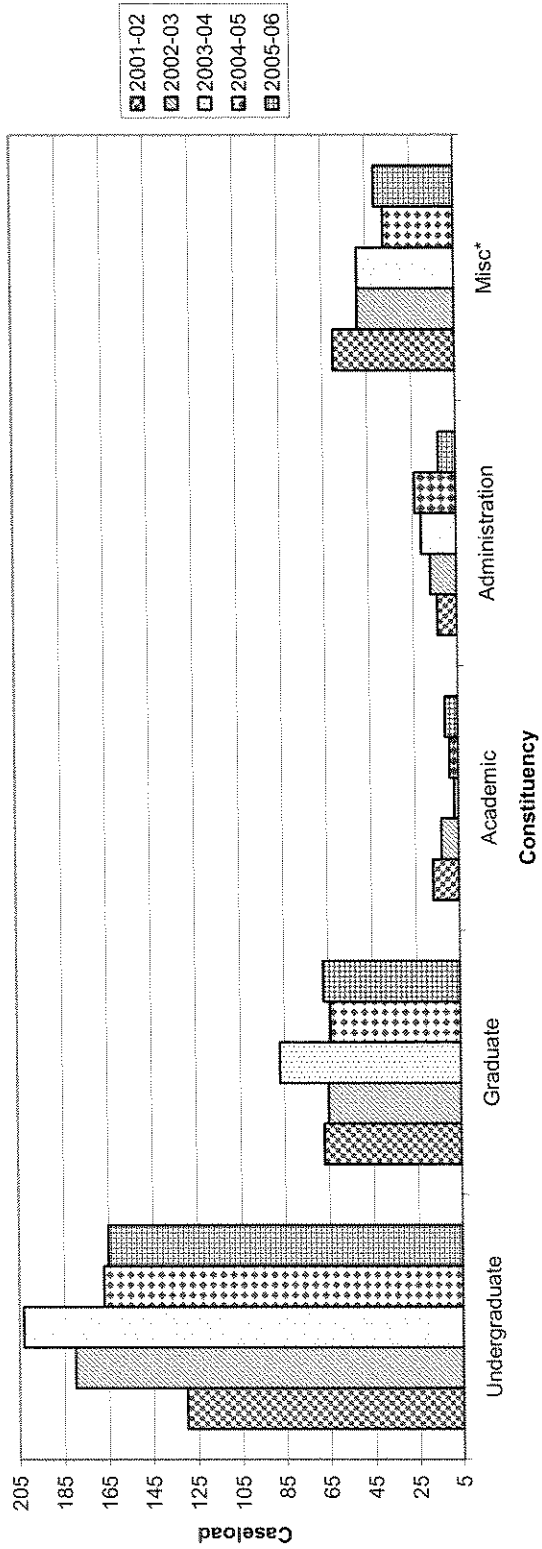


**APPENDIX 4**  
**ANALYSIS OF CASELOAD BY CONSTITUENCY**

	<b>Undergrad</b>	<b>Grad</b>	<b>Academic</b>	<b>Admin</b>	<b>Misc*</b>	<b>Total</b>
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.

**Analysis of Caseload by Constituency**



**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.

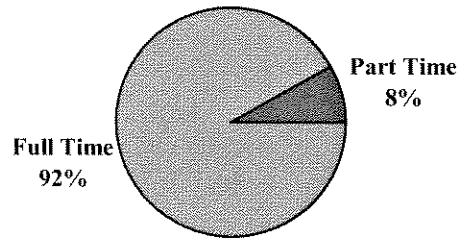
Source	Month												Total
	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	
UofT 05/06	142	95	213	175	184	93	99	108	192	151	157	75	<b>1,684</b>
UofT 04/05	95	137	100	96	113	90	146	157	173	114	97	122	<b>1,440</b>
UofT 03/04	108	104	172	136	98	61	110	137	131	127	135	81	<b>1,400</b>
UofT 02/03	90	96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

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

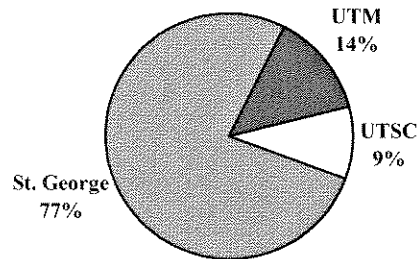


**APPENDIX 7**  
**ACCESSIBILITY MEASURES**  
**JULY 1, 2005 TO MARCH 31, 2006**

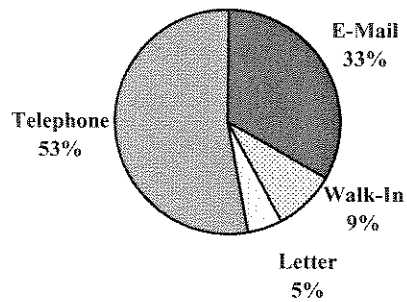
**Part-time Student Caseload**



**Caseload by Campus**



**Count by Initial Contact**



**APPENDIX 8**  
**CASE MANAGEMENT: ACCESSIBILITY & RESPONSIVENESS**  
**July 1, 2005 to June 30, 2006**  
**TOTAL CASES: 297**

<b>Time to Initial Ombuds Office Response</b>	<b>% of Clients</b>
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
<b>Total (297 clients)</b>	<b>100%</b>

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

<b>Time to Resolution</b>	<b>% of Clients</b>
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
<b>Total (office active/involved in 291 cases)</b>	<b>100%</b>

\*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.

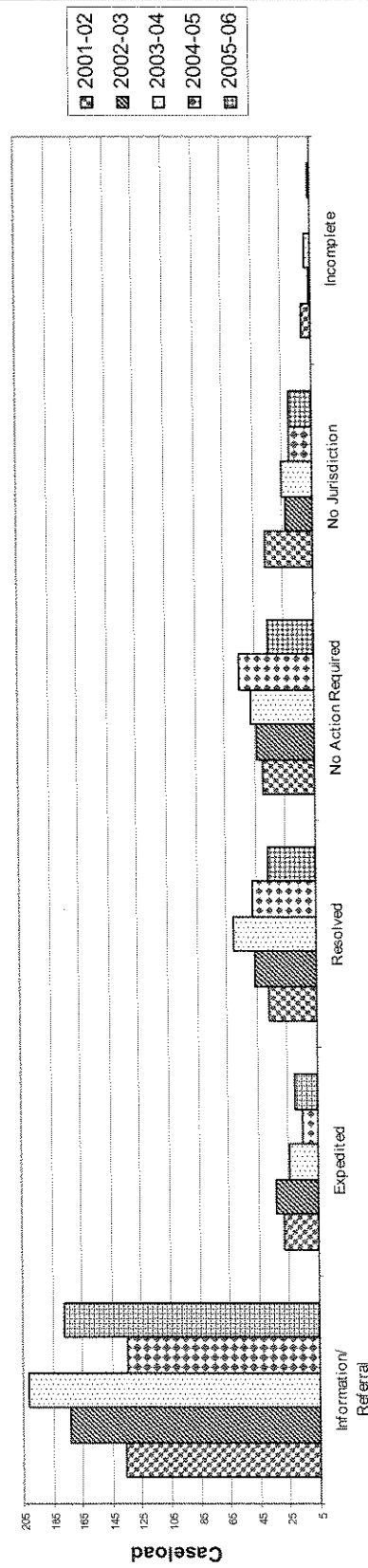
**Resolved** A concern was settled more or less to the satisfaction of both the complainant and the respondent official or department, usually through a reversal of the original decision, a compromise, or an agreement that, in light of new or clarified information, no concern existed.

**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.

**Analysis of Caseload by Action Taken**



**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	106	54	10	10	3
2. Mediation/Facilitation	27	19	8	-	-	-
3. Department/Unit Consultation Request	25	19	6	-	-	-
4. Ombuds Contacted Persons/Offices	45	32	10	-	-	2
5. Reporting Trends	5	4	1	-	-	-
6. Information/Referral	242	132	58	11	10	31
7. None (No Show/Cancellation)	43	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.