

NC STATE UNIVERSITY



NC State Faculty Ombuds Office 1st Annual Report

**Report covers 12/1/14 - 6/30/16 representing office formation
and 2015 - 16 academic year**

Report developed by Roy Baroff, MA, JD

NC State Faculty Ombuds

The NC State Faculty Ombuds Office provides issue/conflict management and resolution services to the faculty community.



Message from Roy Baroff, NC State Faculty Ombuds:

Welcome to the 1st Annual Report of the NC State Faculty Ombuds Office! This is a new office as we opened in late February 2015 and this is also the first faculty ombuds office in NC State University history. Thus, the purpose of this report is to both provide some of the historical materials that led to the office formation and an update of current program information, activities, data, and observations based on the work of the office.

With this message, I'd like to acknowledge and thank those who provided support and input on the creation of the office. The list is quite long with many faculty members, administrators, and staff contributing to the effort. (See History of the Office below) I'd also like to thank those who have added support as the office opened and now serves the University faculty community. I've received a warm reception as I visit across campus and I continue to be honored to serve as the first NC State Faculty Ombuds.

Finally, let me also directly thank Chancellor Woodson and Provost Arden for their support of the Faculty Ombuds Office and for my work as the first NC State Faculty Ombuds.

With warm regards and best wishes,

Roy Baroff, MA, JD
NC State Faculty Ombuds

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Executive Summary

Office Development and Operations

Faculty Ombuds hired 12/1/14 at 10 hrs/week and physical office opened late February 2015. Office located within walking distance to main campus, but just off campus with available parking (112 Cox Ave., Ste. 213). Website developed and operational including occasional blog posting. Educational materials created and distributed. Contract extended as contemplated to 20 hrs/week on 8/1/15. Ongoing attendance at Faculty Senate meetings and departmental presentations to introduce the office. Ongoing administrative meetings each semester with Chancellor and Provost. Office updates provided to various leadership and faculty groups. Ongoing case services.

Case and Post Contact Survey Data

NC State is about Thinking and Doing and the NC State Faculty Ombuds Office shares this outlook. Thus, a range of information is collected by the office to provide aggregate data to the institution and to improve the services offered. Overall, the Case Data (for 116 cases) and Post Contact Survey (53% return rate) obtained for the period 1/1/15 - 6/30/16 suggest that the office is working and providing a range of benefits as intended, i.e., faculty members are utilizing the office as a confidential, independent, informal, and impartial service.

General Considerations / System Issues / Observations

Based primarily on the the day-to-day work of the faculty ombuds along with the Case Data, general considerations for NC State surface for review and consideration. The Faculty Ombuds shares these observations with leadership in meetings throughout the year and, additionally, has regular meetings with the Chancellor and Provost. Some of the items noted to date include:

- Faculty member transitions
- Faculty perceptions of leadership
- Retention Promotion Tenure issues
- Decision making communication
- Department Head Support
- Equity issues

History of the NC State Faculty Ombuds Office

(With special thanks to faculty members Hans Kellner, Leda Lunardi, and David Aspnes for review and input.)

The Faculty Ombuds Office at NC State University is the result of cooperation between faculty governance and university administration. In 2008, then Provost Nielsen convened an Ombuds Group to consider the role. Then in 2011, incoming Chair of the NC State Faculty Senate, Hans Kellner (Professor of English), noted that the matter of an ombuds had been discussed initially by the Faculty Senate as early as the 1970's. Building on the work of the 2008 Group, Prof. Kellner called for renewed Ombuds discussions, citing challenges of the faculty grievance procedure, and the success of Ombuds offices at other universities.

Assigned this task, the Faculty Senate Personnel Policy Committee, co-chaired by Professors David Aspnes and Leda Lunardi, studied the matter for much of the academic year, consulting with university administration, the Ombuds of UNC-Chapel Hill and elsewhere, and other interested parties. The Committee developed a proposal to create an office of Ombuds, the Faculty Senate passed a Resolution (see Appendix A) supporting the concept, and it won strong support from Chancellor Randy Woodson and Provost Warwick Arden.

Provost Arden then named a committee of faculty and administrators to study the legal and financial feasibility of an Ombuds office at NC State and this work resulted in developing a position that led to a Request for Proposal in August 2014. After review of proposals and an interview process, the Committee hired attorney and veteran mediator Roy Baroff as NC State's first Faculty Ombuds starting December 1, 2014.

The Faculty Ombuds Office opened its doors in late February 2015 and the Charter of the Ombuds office (see Appendix B) was publicly presented and signed on October 20, 2015, by Chancellor Randy Woodson, Provost Warwick Arden, Chair of the Faculty Jeannette Moore, and Faculty Ombuds Roy Baroff at the General Meeting of the NC State Faculty.

Office Timeline

1970's - faculty first considered ombuds but not established (per Faculty Senate Notes)

2008 - Ombuds Group convened by Provost Nielsen

2011 - Ombuds Update presented to Faculty Senate

2012 - Faculty Senate passes resolution to institute Ombuds position

2014 (August) - Request for Proposal

2014 (December) - Faculty Ombuds hired

2015 (late February) - Office opens

Overview of Ombuds Role and Services

What is an ombuds?

I am often asked to explain the role of an Ombuds as the term is unfamiliar to most. It comes from Sweden where during the 17th century due to civil unrest, an “ombudsman” was appointed as a “representative of the people” to help resolve matters of concern. The idea was to create an office independent of government that could respond to citizen concerns and also provide input into government actions. The ombuds role came to US universities in the 1960’s, then spread to the corporate world in the 1970’s, and beyond.

As one can imagine, the ombuds role has shifted a bit since the 17th century and today an ombuds provides two primary services. The first role is direct services to individuals - in the case of the NC State Faculty Ombuds Office - to anyone with a faculty appointment.

I often describe this direct service aspect as follows: think about the last time you, a family member, a friend, or colleague, had some issue of concern or conflict come up. What did the person do? Most likely they talked it over with someone - following the adage “two heads are better than one.” The ombuds can be that second person with four special features (Standards of Practice and Code of Ethics)(see Appendix F) that distinguish the role from almost any other. These standards promulgated by the International Ombudsman Association are the core pillars of an ombuds practice and are part of the NC State Faculty Ombuds Office Charter.

The standards include: Confidentiality, Informality, Impartiality, and Independence

Confidential – all communication is off-the-record with disclosure only if imminent risk of serious harm, with permission, or otherwise required by law.

Informal – does not participate in formal internal University processes or actions; contact with office does not place University on notice; no records with identifiable information kept.

Impartial – does not take sides in an issue or matter; seeks to facilitate understanding and communication to reach mutually acceptable resolutions.

Independent – operates independently of ordinary line and staff structures; makes administrative reports to Chancellor and Provost; reports to University on trends and concerns reported to the office; current Faculty Ombuds is independent contractor (not University employee).

The second primary role for an ombuds is to pay attention to trend and system information and share it as appropriate while preserving the confidentiality of the source . The idea is to help the institution attend to and manage issues and conflicts that arise among constituents. In this role at NC State, I meet regularly with the Chancellor and Provost to discuss general themes and issues raised by those that visit the office. I also connect with people across campus on issues that might impact a particular situation or area of the university. In this manner, I'm able to translate individual concerns brought to my attention to leadership so that issues can be addressed and hopefully resolved.

A final, and perhaps third role for an ombuds, is to help an organization as a whole think about how it addresses issues/conflicts. This is the idea of building and supporting increased "conflict competence" within an organization. Thus, I've been active in providing various trainings and presentations including, among others, "The Strange Purpose of Conflict" and "Conflict Styles." I've also started one initiative called the "Be Nice" campaign that encourages people to be "hard" on problems and "soft" on people.

Program Operations

The contract for services began 12/1/14 with an office location soon identified and opened in late February 2015. The location at 112 Cox Ave., is near campus with free parking, confidential access, and comfortable meeting/office space. Visitors have found the location with relative ease and appreciated the parking and meeting space.

During this start up phase, the Faculty Ombuds divided time between internal office development, educational marketing via group and individual presentations, and direct ombuds activities. Educational materials include an office handout and poster along with a fully functioning website at facultyombuds.ncsu.edu while internal materials include a Disclosure Form developed in consultation with General Counsel's office (see Appendix C). The website includes a blog with monthly posts sharing information about the office and discusses issues in the conflict resolution field.

The Faculty Ombuds also attended a range of meetings including one-on-one with Deans, Department Heads, Administrators, various Center Directors, and larger groups presenting an introduction to the Faculty Ombuds Office. The Faculty Ombuds also provided various conflict resolution related trainings/workshops to various faculty members across campus. A "Meet the Faculty Ombuds" program was also established to encourage faculty interaction with the office.

Direct ombuds activities are primarily individual consultations with faculty members' in-person, by phone, or email. Activities also include making confidential inquiries for faculty members, providing information and referral to existing formal NC State services, review and discussion of policies, regulations, and rules, and interaction/negotiation coaching.

Sample Case Narratives

The following are a sample of cases brought to and handled by the Faculty Ombuds Office:

1. Faculty member serving on a committee tasked with resolving program issues asked for input and conflict resolution training to help group determine how to revise program. Met with group leadership and developed training sessions to support process redesign.
2. Department Head sought assistance with internal faculty issues of concern. Set up process that included individual faculty member meetings, summary of issues shared faculty wide, and ongoing facilitation with small working group to address certain issues.
3. Faculty member concerned that a promised base salary adjustment, in part based on additional responsibilities, was not going to be completed due to bonus payment. Provided information describing the bonus and helped faculty member consider how to approach the situation.
4. Faculty member working on software related project with intellectual property concerns. Project work included various forms and contributions including student, contractor, and various locations. Faculty Ombuds made confidential contact with Office of Institutional Research and Office of General Counsel to inquire about the issues raised. Provided general information and process information and contacts for faculty member to pursue as determined.
5. Faculty member working on grant submission concerned about level of college research office support. Reviewed steps taken to date and developed plan for additional steps. Faculty member commented that issues surrounding the situation made it feel like a “cloud of isolation” and talking it over and “thinking about options” helped clear the air.
6. Faculty member contacted Faculty Ombuds due to personal safety issue within department. Situation reviewed and referral made to the BAT (Behavioral Assessment Team) for information and support. BAT team determined review was warranted, investigated the situation, and determined there was no safety issue.
7. Faculty member program director contacted Faculty Ombuds for assistance obtaining member feedback. A process for obtaining feedback including direct faculty ombuds contact was developed. Program members contacted and shared information with the Faculty Ombuds that was then shared with faculty member while maintaining the confidentiality of the contact. Program director instituted various changes based on feedback to rebuild communications and productivity.

8. Faculty member participated, but did not vote in DVF and was concerned about confidentiality of voting outcome. Determined that confidentiality of DVF ballot explanation may need additional clarification and passed on issue for review.
9. Faculty member wanted personnel file action removed as did not think it was appropriate. Action taken based on interactions with a colleague that faculty member felt not able to work with due to approach and actions. Provided faculty member with information and coaching to pursue options.
10. Faculty member with adult diagnosis of mental health condition was concerned about impact on ability to do job. Considering disability filing and wanted information without specifically alerting HR to situation. Faculty Ombuds made confidential contact with HR to determine how filing for disability worked and provided faculty member with information and support in order to determine next steps.
11. Recording of religious service and issues surrounding the recording outside of work brought the issue of recording faculty lectures. Reviewed with Office of General Counsel and provided information to faculty member, i.e., lectures may not be recorded without permission (Reg 02.20.11).
12. Faculty member engaged with public having difficulty working with certain individuals. Discussed options including holding a meeting to discuss different approaches to deal with conflicts.
13. Faculty member concerned about RPT review and wanted to discuss SME. Provided information from Office of Faculty Development articulating the interplay between SME, Departmental, and College standards. Helped faculty member clarify concerns and develop options and referral for how to proceed.

Office Initiatives

One of the challenges for any ombuds office is to be both independent from yet connected to the institution it serves. Thus, educational marketing is essential to the success of an office. As noted above, this includes departmental and many other meetings all under the umbrella of the **“Meet the Faculty Ombuds Program.”** Establishing this program allows the ombuds to be on campus, meet with groups and individuals, and build campus relationships while maintaining the confidentiality of specific faculty member cases and contacts. This program also allows the faculty ombuds many opportunities to meet and learn from faculty members across campus. This knowledge supports the work of the faculty ombuds by connecting aspects across campus to specific issues.

A second initiative of the faculty ombuds office is the “**Be Nice Campaign - Be Hard on Problems and Soft on People.**” This program is designed to encourage faculty members to consider how to be robust in critical thinking (that is necessary in the university) and to do so in respectful ways. Thus, determining how to disagree without resorting to personal attacks is the question this poses to faculty. Additionally, as part of this initiative, the Faculty Ombuds Office website contains resources including potential hiring questions to address collegiality issues.

Professional Activities

The Faculty Ombuds is a member of the International Ombudsman Association and has attended two IOA Annual Conferences including a conference presentation - Opening an Ombuds Office From the Ground Up and Beyond: The NC State Faculty Ombuds Office (Seattle 2016). Additionally, the Faculty Ombuds is an active member of the North Carolina and American Bar Association Dispute Resolution Sections’ and currently serves on the ABA Ombuds Committee including service as Legislative Sub Committee Chair for 2016 - 17.

Office Data and Considerations

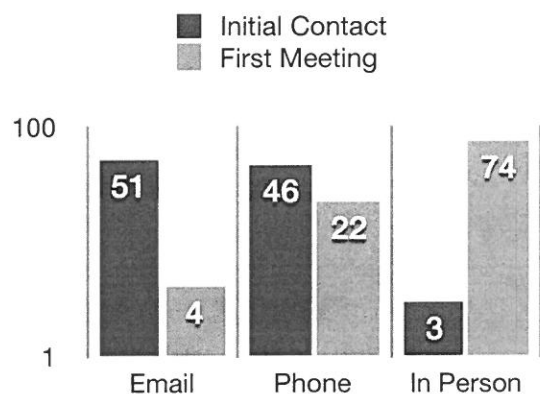
Case Data (Appendix D)

The NC State Faculty Ombuds Office collects a range of case data in order to aggregate office use patterns and demographics. This material provides useful information to improve the work of the office, provides trend data for the types of cases/issues brought to the office, and demographics of those using the office. Taken together, this data coupled with the day-to-day work of the faculty ombuds generates observations and recommendations to be shared with the institution served.

Section A - Activity Data

Activity Data includes office contact, meeting type, outcome, along with case categories using the International Ombudsman Association Reporting Categories (see Appendix G). Initial contact with the office was fairly evenly split between email (51%) versus phone (46%); however, over time since the office opened, initial contact by phone has increased to 59% last six months and may demonstrate additional interest in confidentiality by

faculty members contacting the office. This is so because use of University email address is a public record (this is noted on information describing how to contact the office) while a phone call is not. As expected and hoped for, most first meetings are in-person (74%)



as meeting in person seems to be the best manner in which to provide support and assistance.

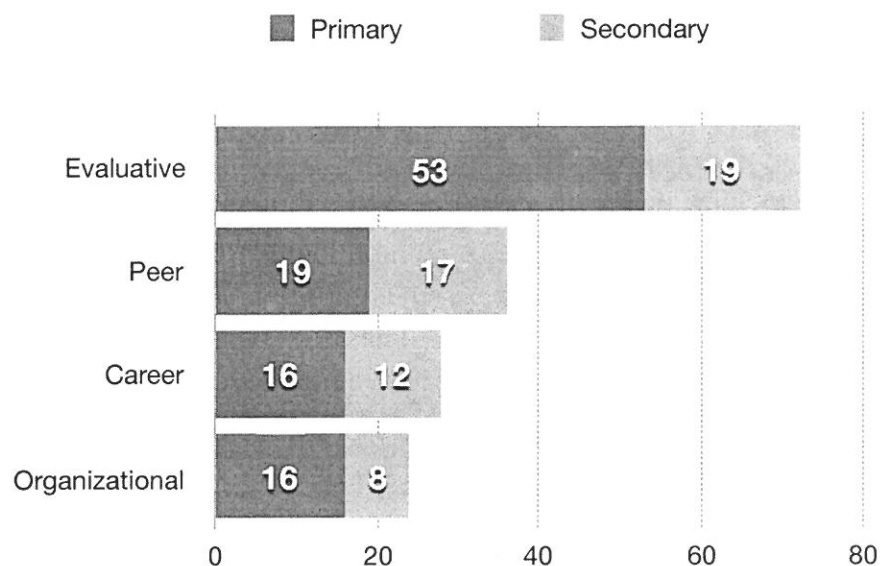
For faculty member meetings in office, the primary ombuds activity is consultation, followed by referral (overall 12%) and confidential contact (11%). A “consultation” typically consists of a meeting lasting an hour in which a faculty member shares a concern, the faculty ombuds listens, helps clarify the concern, and works with the faculty member to develop and consider options for how to proceed. One option is for the faculty ombuds to make a “confidential contact” - this is when the faculty ombuds office contacts another university office and makes a general inquiry on a particular topic without disclosing the specifics of the faculty member contact. In this manner, a faculty member can gain additional information about the situation of concern and also determine what might happen if direct contact is made with the service. Based on the outcome of the inquiry, the faculty member then determines how to proceed. (See Sample Case Narratives for examples.)

With respect to how faculty members “find” the faculty ombuds office, self referral (50%) and presentation (29%) are the main contact points. At the same time, an increase in presentation referrals (47%) over the last six months may demonstrate the value of the “Meet the Faculty Ombuds Program.” This is an educational marketing program designed to meet faculty members in their respective departments. To date, the faculty ombuds has made over 30 departmental meeting presentations and continues to seek such opportunities across campus.

Case Categories

The top case categories (see Appendix G), noting primary and secondary indications, include Evaluative Relationships (53 / 19), Peer & Colleague Relationships (19 / 17), Career Progression & Development (16 / 12), and Organizational, Strategic & Mission (16 / 8). These are to be expected as faculty

members bring issues focused on their department and colleague interactions.



Observations

These data points along with information shared by faculty members lead to the following observations:

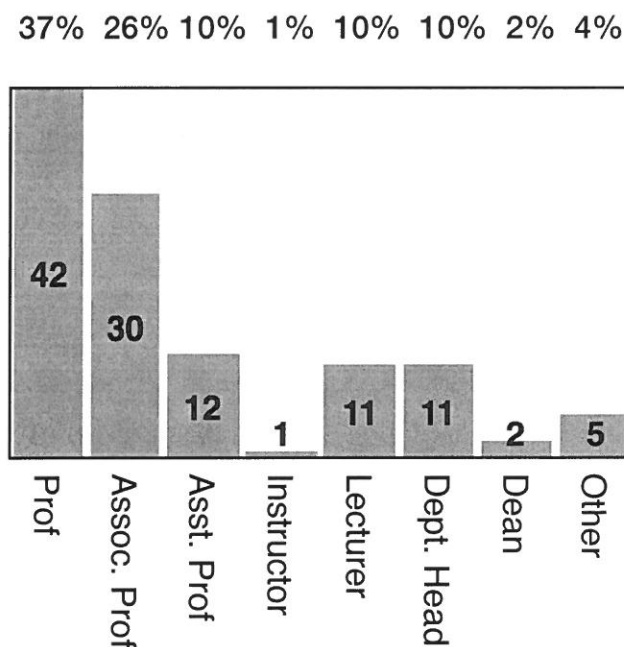
- 1) Given issues raised about Evaluative Relationships, specifically Departmental Climate (23 / 4) and Respect/Treatment (6 / 1), these suggest that additional resources may be needed by department leadership to better manage and lead departments. This may be particularly true when leadership transitions occur. Thus, the availability of executive coaching resources may be helpful as well as developing a Department Head checklist for transition management.
- 2) Peer & Colleague Relationships made up the second highest case category and, in many respects, this is normal for any organization or institution. Peer to peer interactions, particularly with rank differences and promotion considerations do create both opportunities and challenges. Much of my work in this area is based on “coaching” a faculty member with strategic discussions about goals and how to potentially affect outcomes. Usually, after a meeting a faculty member has generated various options to pursue including referral to existing services if that fits the situation or direct action by the faculty member. In part, as a result of these cases, the Faculty Ombuds Office instituted the “Be Nice Campaign - Be Hard on Problems and Soft on People.” This program is designed to encourage the robust and critical thinking that is needed on a university campus and to ask faculty members to consider how they can do so while maintaining respect and appreciation for colleagues.
- 3) With respect to Career Progression & Development, most of the issues focus on promotion and tenure along with more senior faculty members raising questions about current work and the connection or lack thereof to SME’s (Statements of Mutual Expectation). Some faculty members become focused on the SME without broader awareness of Department and College standards that directly impact promotion decisions. Often such faculty members are referred to the Office of Faculty Development which provides many faculty members learning opportunities and programs to help faculty members navigate career issues.
- 4) Organizational, Strategic & Mission round out the top four categories and one of the main issues/concerns expressed by a number of faculty members was the feeling of not “connecting” with leadership at the institution. As a result, leadership may want to explore ways to further connect with faculty members including use of video and/or podcasts. I too am trying to build some video components for the Faculty Ombuds Office website to further inform and connect with faculty members seeking assistance.

Finally, in Section A, the Outcome data remains positive with indications that 69% of matters were either resolved (27%) or partially resolved (42%) while for a number of

cases Outcome was not applicable (23%). This data is based on stated and observed outcomes of cases and is consistent with Post Contact Survey data under Question 4 - Contact with the Faculty Ombuds, that shows a range of positive outcomes (See below and Appendix E).

Faculty Member Visitor Demographics

Who seeks help from the faculty ombuds? In this regard, a range of data is collected including Faculty status, role, gender, length of service, ethnicity, and age. Overall, tenured faculty members use the service most including full and associate professors at 63%. Gender is evenly split although the overall faculty member gender, based on 2015 data from the Office of Institutional Research and Planning, is 67% male to 33% female. This suggests two considerations. First, it appears women are comfortable contacting the office by virtue of the increased percentage of contacts; however, the increase may also suggest a range of issue/climate concerns by women across the institution. This is an aspect that warrants continued tracking and further review. Finally, in terms of length of service, 54% of faculty members contacting the office served less than 10 years. This fairly even split suggests that both new and long standing faculty members are able to access the faculty ombuds office.



Post Contact Survey Data

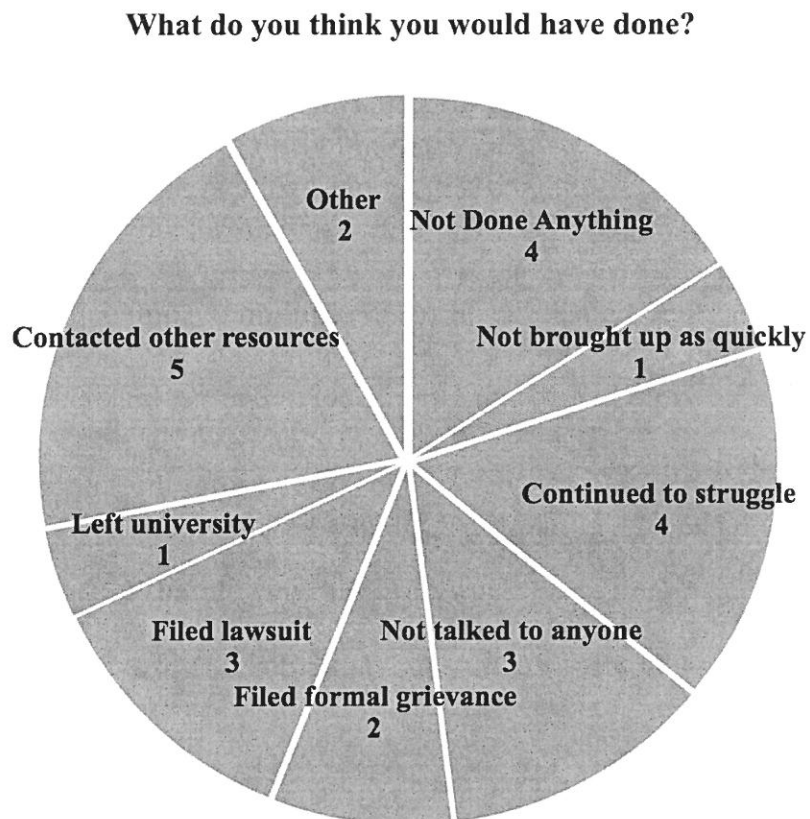
In an effort to gain feedback on operation and to learn about the impact of the Faculty Ombuds Office, the office conducted a Post Contact Survey for the 2015 calendar year. The survey results are included in Appendix E.

As an overview, the survey sought information on the following topics: Office materials, Contact and visiting the office, Physical location and space, Contact with the Faculty Ombuds, Actions taken if the Faculty Ombuds Office not contacted, and any additional Comments, suggestions, or feedback. The survey was designed to allow anonymous response and the return rate was quite strong at 55% (Sent to 49, receipt by 42, and completion including partial by 23).

Overall, the survey results were quite positive towards the office materials, ability to contact and visit, and office location and space. Setting up the office near, but not on campus and with plenty of parking has made visiting the office relatively easy. Similarly, contact with the Faculty Ombuds was positive although several responses highlighted some limitations in terms of perceived impact on the issue/concern presented. As a result, as part of my first meeting with faculty members, along with a Case Disclosure Form (see Appendix C) that explains the work of the office, I also emphasize that the faculty ombuds office may not resolve all cases and is not a specific advocate for the individual; instead, the office is interested in fair process and in supporting both a faculty member and the institution in handling cases. This plays out in many cases where the sum total of the case is an in-person meeting with the faculty member that concludes with the faculty member identifying some options to pursue and no further office involvement.

At the same time, in terms of office impact, multiple responses indicate faculty members' found contacting the Faculty Ombuds to be helpful in their situation. For example, Faculty members Strongly Agreed and Agreed in Question 4 that "the faculty ombuds helped me identify and consider options to address my concerns" (15 / 5), that "the faculty ombuds provided useful/helpful information" (11 / 7), that "I was better able to handle my situation following discussion with the Faculty Ombuds" (10 / 5), and that "my issue/concern is now resolved or is closer to resolution as a result of contacting the Faculty Ombuds Office" (6 / 4).

Finally, to seek direct impact information, Question 5 - "If you had not contacted the Faculty Ombuds Office, what do you think you would have done?" - highlighted that contact with the office had a range of significant impacts including the potential prevention of three lawsuits and two formal grievances.



In conclusion, the survey results provided helpful feedback for the office and it is anticipated that a similar survey will be conducted each year for feedback and improvement aspects.

General Considerations / System Issues / Observations

1. Faculty perceptions of administration and leadership - as may be expected, some faculty members bring concerns about “not feeling connected” to University leadership. It is both interesting and perhaps not surprising that even though from leadership perspective, much information about activities and developments is shared; however, a faculty member may not “feel” directly engaged.

Thus, it may be helpful for leadership to think of ways to create direct connections with faculty. These methods might include video or pod casting from leadership shared directly with faculty or some type of “Town Hall” meetings around campus (in addition to the General Faculty Meeting each semester) to provide updates and allow direct interaction.

While email and websites are indeed helpful and important avenues of information it is also sometimes difficult for faculty (as it may be for all of us) to sift through the inbox to read another note. Thus, expanding use of digital platforms should be considered.

Note - this consideration is also part of my thinking as the Faculty Ombuds seeks to educate about its office and services. Look for some short videos describing the office to be added to the office website.

2. Training and support for Leadership - a number of faculty members have brought concerns around perceived “leadership” issues and I’ve also had occasion to work with various leaders including Department Heads and Deans. One aspect stands out (and it’s not a surprise) is the significant workload of leaders across campus. I characterize much of my work with faculty members as being an “issue/conflict coach” and as I’ve heard a range of concerns expressed it might be helpful to explore and develop “management executive coaching” resources for faculty leadership in addition to services already available in Organizational Solutions in the Human Resources office. This may be particularly helpful for Department Heads, especially those that are transitioning into the role for the first time or serving as an interim Head. Some type of “checklist” may be especially helpful for an interim leader.

3. Reappointment, Promotion Tenure (RPT) issues concerning the interplay between SME’s and Departmental and now College standards - encourage/remind department heads to be clear and direct with faculty members that solely meeting an SME is only part of RPT and attention to Department and College standards must also be considered.

4. Equity issues in compensation particularly where new market hires intersect with long term faculty including concerns of implicit gender bias - review compensation data and practices and determine how to communicate with faculty.

5. Decision-Making Communication - a number of issues have come to the office as a result of a faculty member believing that s/he was not part of a discussion and decision-making process that impacted their work. The “fix” to these situations is to encourage leaders/decision-makers to do a stakeholder analysis, i.e., who will be impacted by this decision and what sort of communication and/or input is needed. A mantra I learned from an organizational consulting company, when change is contemplated, is to “go slow, to go fast.” Take time early in the process to determine who needs to be informed and who needs to be involved in the process. Involving necessary stakeholders, whether as part of the process or just to inform, creates the opportunity for more complete buy-in at the end of the process. Creating such buy-in usually generates decision support and prevents people from blocking implementation.

6. Managing Faculty Transitions - several faculty members have shared issues around either continuing with or leaving the University. The issues are generally about the work environment (treatment of the faculty member) versus other opportunities or retirement. While the University provides significant resources and clear structure and direction for new faculty, it might be worth exploring how to also support transitions - specifically retirement planning. While phased retirement certainly provides one tool, developing additional structure and guidance for faculty members and faculty leadership in this area may be helpful.

Conclusion

The NC State Faculty Ombuds Office is up and running and serving faculty members and the institution as designed and intended. The next steps are to continue office educational marketing in order to reach all faculty members and to develop office policies and procedures to provide a consistent and quality service to NC State University.

Appendix A

NC State Faculty Senate Resolution on Ombud(s)

Resolution on Ombud

Resolutions Adopted R1: 2012-2013: Resolution on Ombud

First Reading: November 13, 2012

Second Reading: November 27, 2012

Adopted: November 27, 2012

Whereas, an Ombud, who acts confidentially to resolve a variety of concerns of faculty, staff, or administrators, is an important person in large organizations, and
Whereas, an Ombud can serve both the university and its employees by providing impartial advice outside of a formal grievance process, and
Whereas other universities in the UNC system and across the country have successfully adopted the Ombuds model, and
Whereas North Carolina State University currently has no such office, and
Whereas NC State has discussed the creation of an Ombuds office for over forty years
and the Faculty Senate has passed resolutions in the past to this effect,
Be it resolved that North Carolina State University should institute an Ombuds position as described in the appendix to this resolution.

(07 Nov 2012)

I. Introduction.

Organizations of the complexity of North Carolina State University almost universally now have an Ombud, simply because it improves employee morale, provides a means of obtaining suggestions for improving operations, and provides an efficient and low-cost way to address concerns that arise within the organization before they reach a formal grievance process. The Ombuds structure proposed here is that on which the Personnel Policy Committee of the Faculty Senate converged during its 23 Oct and 06 Nov meetings. The meetings included not only members of the Faculty Senate but also members of Administration. The current draft incorporates in addition material from the report of the North Carolina State Ombuds Committee formed by Provost Nielsen in 2008, and other sources including the International Ombudsman Association website. We believe that the described position is appropriate for our organization.

In arriving at our conclusions, we examined how other organizations approach the Ombuds position. We recommend a structure that resembles that of the University of North Carolina – Chapel Hill, but with some significant differences. The UNC-CH Ombuds facility serves students as well as faculty, staff, and administrators, and is staffed with three trained mediators that can and do perform mediations. This is a larger operation than what we envision here. Also, the three UNC-CH Ombuds report to the Chancellor instead of a neutral intermediate group tasked with hiring them and overseeing their performance. However, we retain the requirement that all discussions are off-line, and that no records other than statistical data are created or retained. This is in distinct contrast to the more formal Duke approach, where written documentation is required at all stages.

The present document is done in several parts. Section II provides an overview of the structure. Section III is the proposal itself. Section IV presents appendices that provide additional detail.

II. General overview.

A. Scope:

The Ombud deals with concerns brought by administrators, faculty, or staff.

B. Structure:

The Ombud is hired and his or her performance assessed by an Ombuds Committee consisting of 2 administrators, 2 faculty, and 2 staff.

The administrative members are appointed by the Chancellor, the faculty members are elected by the Faculty Senate, and the staff members are elected by the Staff Senate.

C. Responsibility:

The Ombud relies on clarification, fact-finding, persuasion, and conciliation to resolve concerns, and recommends procedures to be followed.

The Ombud does not mediate, and has no judgmental or punitive power.

D. Records:

No records other than statistical data are created or retained.

III. Proposal.

Introduction:

The Ombud acts confidentially to resolve concerns, issues, conflicts, problems, or disputes (collectively “concerns”) involving a member of the faculty, staff, or administration. The Ombud provides the individual an informal, independent, and confidential (off the record) opportunity to discuss a concern. The Ombud can offer an unbiased and impartial perspective; provide information; help clarify interests, goals, policies, procedures, and risks; analyze and assess avenues for resolution; and provide information about such avenues, including but not necessarily limited to information on university policies, processes, and procedures available to assist the resolution of the concern.

Typical concerns could include career management, work relationships, research, policies and requirements, illness and disability, sexual harassment, and University services. The Ombud acts to resolve concerns before they reach the formal grievance process, or to refer the individual to the appropriate office. Should the need arise, the Ombud is not a substitute for the grievance process, and does not get involved with it.

Ombuds positions are now a part of many organizations, the University of North Carolina – Chapel Hill, Charlotte, and Duke, to name several. We recommend the establishment of an Ombuds position at North Carolina State University (hereinafter NCSU) as a means of resolving conflicts before they reach the formal grievance level. The Ombud will operate from an Ombuds Office (hereinafter “Office”) as described below. We recommend the establishment of an University Ombuds Committee (hereinafter “Committee”) that has the responsibility of overseeing the Ombud and the Office. Specifically, we recommend the following structure and guidelines:

A. The Ombud:

1. The Ombud shall report to the Committee described below, and be independent of, and not associated with, any administrative or other office of NCSU. However, the Ombud is encouraged to make recommendations to all parts and levels of the organization for improving NCSU procedures.
2. The duties of the Ombud shall include:
 - a. Dealing with concerns brought by administrators, faculty, or staff;
 - b. Working with the parties involved to perform the functions outlined in the Introductory paragraph;
 - c. Recommending procedures to satisfy identified needs.
3. To perform these duties, the Ombud shall operate from an Office described below, and shall have access to any appropriate NCSU information that does not violate the rights of an individual to privacy.
4. The Ombud shall rely on clarification, fact-finding, persuasion, and conciliation as described in the Introductory paragraph. The Ombud shall have no judgmental or punitive power.
5. The Ombud shall undertake suitable training for the position. This will include mediation training, even though the Ombud will not perform mediations.

6. The Ombud shall operate under the code of ethics and standards of practice of the International Ombudsman Association.

B. The Committee and the Office:

1. The Ombud and Office shall be overseen by a Committee with the following constituency:
 - a. Two administrators appointed by the Chancellor;
 - b. Two faculty members elected by the Faculty Senate, at least one of whom shall be a member of the Faculty Senate;
 - c. Two staff members elected by the Staff Senate, at least one of whom shall be a member of the Staff Senate.
 - d. All members shall serve three-year terms.
2. The duties of the Committee shall include:
 - a. Selecting the Ombud;
 - b. Overseeing the work of, and counseling with, the Ombud in a continuing evaluation of his or her performance;
 - c. Replacing the Ombud should the need arise.
3. The Committee shall select the Ombud by a simple majority of the Committee, provided that the candidate receives at least one vote from the representatives of each constituency (administration, faculty, and staff). The performance of the Ombud shall be reviewed annually.
4. The Committee shall report to the Chancellor.
5. The duties of the Ombud relative to the Committee shall be:
 - a. To prepare and present a written yearly report to the Committee describing activities and suggested reforms of University procedures, and interim reports as needed;
 - b. To carry out other activities requested or authorized by the Committee.
6. The Ombud shall operate out of an Office that shall be established with funds provided by NCSU. These funds will provide for:
 - a. The salary of a full-time Ombud;
 - b. The salary of a full-time administrative assistant;
 - c. Space, furnishings, supplies, and travel as necessary to carry out the functions of the Office.
7. The Office shall be established for a three-year trial period with a review of the effectiveness of the Office near the end of the three-year period.

IV. Appendices providing further details:

A. The Ombud:

1. Listens, which may be all that the individual needs.
2. Discusses concerns and helps clarify the most important issues.
3. Helps identify and evaluate options.
4. Gathers information, explains policies, and offers referrals to other resources.
5. Makes recommendations for improving University procedures as appropriate to any part or level of the organization.

B. The Ombud does not:

1. Make decisions for anyone.
2. Conduct formal investigations.
3. Serve as an advocate on behalf of any party.
4. Offer legal advice or psychological counseling.
5. Offer mediation or arbitration services.
6. Enforce or modify policies, regulations, or rules.
7. Participate in the grievance or any other formal process.
8. Testify in any judicial or administrative proceeding, unless required by law after reasonable efforts have been made.
9. Serve as a place to put the University on notice of claims
10. Address issues involving persons not at NCSU.

C. Additional aspects of the Ombuds role:

1. The use of Ombuds services is strictly voluntary.
2. The only exceptions to confidentiality are (a) when the Ombud is given permission by the individual to do so and (b) where there appears to be an imminent risk of serious harm to oneself or others.
3. The Ombud does not formally receive reports of possible violations of law or policy on behalf of NCSU.
4. The Ombud may discontinue providing services to an individual at his or her discretion.
5. The Ombud is independent in function and appearance to the highest degree possible within NCSU.

D. Competencies:

1. Current knowledge and understanding of applicable NCSU policies, processes, and procedures, and of the complexity and diversity of NCSU.
2. Effective communications skills.
3. The capability of maintaining a balanced and objective approach.
4. Completion of formal training through an appropriate professional organization such as the International Ombudsman Association.

E. Ethics:

1. The Ombud shall be truthful and act with integrity at all times.
2. The Ombud shall foster respect for all members of NCSU.
3. The Ombud is a designated neutral who remains unaligned and impartial.
4. The Ombud does not engage in any situation that could cause a conflict of interest.
5. The Ombud shall create or retain no records other than statistical data.

Appendix B

NC State Faculty Ombuds Office Charter

CHARTER AGREEMENT

NORTH CAROLINA STATE UNIVERSITY FACULTY OMBUDS OFFICE

I. INTRODUCTION

The North Carolina State University Faculty Ombuds Office is established January 1, 2015, to provide its faculty members with a confidential, independent, and informal resource for discussion of workplace questions, issues, concerns, conflicts, or disputes. The Faculty Ombuds Office (hereinafter reference to the Faculty Ombuds Office includes the Faculty Ombuds) shall also be impartial in assisting the NC State faculty community. The Faculty Ombuds Office shall practice in keeping with the Code of Ethics and Standards of Practice of the International Ombudsman Association (IOA). In all proceedings, the Faculty Ombuds Office shall act with professionalism and integrity, shall foster respect for all members of the University, and shall promote procedural fairness in the issues addressed and in the content and administration of the University's policies, regulations, and rules.

II. PURPOSE AND SCOPE OF SERVICES

The Faculty Ombuds Office provides services to NC State faculty defined as University employees with a faculty appointment including any faculty member (full-time or part-time) with a primary faculty title and role. It does not include graduate assistants, post doctoral scholars, or other University employees whose primary job is non-faculty EPA or SPA, but who may also teach an occasional course. The Faculty Ombuds Office provides faculty members with information on University policies, regulations, and rules and assists with issue identification and conflict resolution.

The Faculty Ombuds listens, makes informal inquiries or otherwise reviews matters received, provides assistance, issue or conflict coaching, and makes referrals to appropriate University offices or administrators. The Faculty Ombuds assists faculty members to achieve their defined outcomes that are also consistent with the ideals and objectives of the University. Services of the Faculty Ombuds Office supplement and complement, but do not replace other procedures available to the University faculty community.

While maintaining the confidentiality of sources, the Faculty Ombuds Office shall provide feedback to the Chancellor, Provost, and to other administrators or University offices (as appropriate and authorized by the Chancellor or Provost), when trends, patterns, or issues are identified and/or when policies, regulations or rules of the University generate concerns.

The Faculty Ombuds is not an employee nor agent of NC State and both the Faculty Ombuds Office and Faculty Ombuds are not authorized to receive notice for NC State. Contacting the Faculty Ombuds Office or the Faculty Ombuds is not considered by NC State or the Faculty Ombuds Office as notice to NC State of any issue, complaint, grievance or claim. When a faculty member wishes to make a formal complaint to NC State, the Faculty Ombuds Office can provide information and/or referrals to the appropriate University office or administrator.

The Faculty Ombuds has no authority or capacity to render decisions, alter policy, offer legal advice, provide formal mediation services, or engage in psychological counseling. Faculty members are not required to use the Faculty Ombuds Office and do so voluntarily.

III. STANDARDS OF PRACTICE AND CODE OF ETHICS

The Faculty Ombuds Office practices to the IOA Standards of Practice and Code of Ethics. These tenets establish that the Faculty Ombuds Office function independently of the organization served, is confidential to the extent allowed by law, is impartial, and limits the scope of services to informal means of issue and dispute resolution. The IOA Standards and Code are minimum standards, and the NC State Faculty Ombuds Office strives to operate to “best practices” and in a way that serves the interests of the Faculty and University. The Faculty Ombuds Office will establish protocols and practices consistent with the IOA Standards of Practice and Code of Ethics. The Faculty Ombuds will be a member of the IOA and attend regular trainings.

A. Independence

The Faculty Ombuds Office is independent in structure, function and appearance to the highest degree possible. It shall operate independent of ordinary line and staff structures and shall exercise sole discretion over whether and how to act regarding individual

matters or systemic concerns. The Faculty Ombuds is an independent contractor and not a University employee.

The Faculty Ombuds Office will make regular reports, at least annually, to the Chancellor and Provost for administrative purposes. Such reports will include aggregate data describing the number, type of consultations, and categories of issues. The Faculty Ombuds will also inform the Chancellor, Provost, and other administrators or University offices (as appropriate and authorized by the Chancellor or Provost) of trends, issues, and concerns while maintaining the confidentiality of source material.

B. Confidentiality

Communications with the Faculty Ombuds Office are confidential to the fullest extent of the law. Further, since the Faculty Ombuds is an independent contractor, not a university employee, the NC Public Records Act does not apply to records created or received by the Faculty Ombuds Office. However, records sent by the Faculty Ombuds Office to university employees may constitute public records, unless an exception applies such as the Personnel Records Act. The Faculty Ombuds Office will not confirm that communications with any faculty member took place or disclose any confidential information without express permission of the faculty member and at the discretion of the Faculty Ombuds. Exceptions to confidentiality that allow disclosure include where there is an imminent risk of serious harm, where abuse and neglect are suspected, and where otherwise required by law.

The Faculty Ombuds Office shall not participate in any formal University processes. The Faculty Ombuds is not a designated responsible employee as contemplated under Title IX. Further, the Faculty Ombuds Office is not a campus security authority as outlined in the Clery Act and the Violence Against Women Act (VAWA).

C. Impartiality

The Faculty Ombuds Office shall be impartial in all activities, and shall not take sides in any conflict, dispute or issue. The Faculty Ombuds will objectively consider the interests and concerns of all those involved in a conflict, dispute or issue with the aim of facilitating communication and assistance in reaching mutually acceptable agreements that are fair, equitable, and consistent with the mission and policies of the University.

The Faculty Ombuds will avoid involvement in matters where there may be a conflict of interest. A conflict of interest occurs when the Faculty Ombuds' private interests, real or perceived, supersede or compete with dedication to the neutral and independent role of the Faculty Ombuds. When a conflict of interest exists, the Faculty Ombuds will take all steps necessary to disclose and/or avoid the conflict.

D. Informality

The Faculty Ombuds Office shall be an informal issue or dispute resolution resource and shall not formally investigate, mediate, arbitrate, adjudicate or in any other way participate in formal internal University processes or actions. Use of the Faculty Ombuds Office will be voluntary and is not a required step in any grievance process or University policy. Faculty members shall have the right to consult with the Faculty Ombuds Office without retaliation.

The Faculty Ombuds Office is not an agent of nor authorized to receive notice of any issue, complaint, grievance or claim on behalf of the university and use of the Faculty Ombuds Office does not extend any timelines or deadlines to file complaints or grievances.

IV. AUTHORITY AND LIMITS OF THE FACULTY OMBUDS

The authority of the Faculty Ombuds Office derives from the University as manifest by the endorsement of the University Chancellor and Provost.

A. Authority of the Faculty Ombuds Office

1. Discussions with Faculty Members and Others

The Faculty Ombuds will provide faculty members with an informal opportunity to discuss concerns, clarify, and articulate issues with a focus on identifying interests and goals. The Faculty Ombuds will help analyze and assess avenues for potential resolution and provide information about such avenues, including but not limited to information on University policies, regulations, rules, services, and resources that may be available to assist with the resolution of the concern. These resources may include, but are not

limited to, the Faculty and Staff Assistance Program (FASAP), Employee Relations, Mediation Services, the formal faculty Grievance Process, and the Office of Institutional Equity and Diversity, among others.

The Faculty Ombuds may also make informal inquiries concerning matters, issues, and concerns brought to the attention of the Faculty Ombuds Office.

The Faculty Ombuds may also withdraw from or decline to assist with a matter if believed involvement would be inappropriate for any reason.

2. Access to Information

The Faculty Ombuds Office may request information related to faculty member concerns from the University with consent of the individual faculty member and will maintain the confidentiality of any such information. The purpose for this access is to enable the Faculty Ombuds to better understand situations and provide assistance.

3. Access to Legal Counsel

On occasion, the Faculty Ombuds Office may need legal advice or representation in order to fulfill required functions. Under these circumstances, the Faculty Ombuds Office may seek legal counsel separate and independent from the University.

B. Limitations on the Authority of the Faculty Ombuds

1. Formal Processes and Investigations

The Faculty Ombuds Office shall not participate in any University grievance or review process, nor serve as an advocate on behalf of any faculty member, nor act as mediator or arbitrator in any matter, nor offer legal advice or provide psychological counseling, nor impose sanctions or remedies, nor enforce or modify policies, regulations or rules, nor testify, serve as a witness or participate in any administrative, grievance, review or judicial hearing unless required to do so by law. Additionally, the Faculty Ombuds Office shall not conduct investigations of any kind.

2. Receiving Notice for and Placing Notice on the University

The Faculty Ombuds is not an employee nor agent of NC State and both the Faculty Ombuds Office and Faculty Ombuds are not authorized to receive notice for NC State. Contacting the Faculty Ombuds Office is not considered by NC State or the Faculty Ombuds Office as notice to NC State of any issue, complaint, grievance or claim. If a faculty member decides to place the University on notice regarding a specific situation or wants to make a complaint, the Faculty Ombuds Office will provide the faculty member with information and/or referral to the appropriate University office(s) or administrators so that he or she may do so directly.

Additionally, if a faculty member decides to place the University on notice concerning any issue, misconduct, crime, grievance or claim, including allegations of research misconduct, misuse of state property, discrimination (including harassment and retaliation) and sexual assault, the faculty member should report to the proper authorities or University offices that are established to investigate and resolve such situations. The Faculty Ombuds Office can provide the faculty member with the reporting information and/or make a referral as noted above.

Further, the Faculty Ombuds Office shall not participate in any complaint processes or investigations and is not a designated responsible employee as contemplated under Title IX, nor a campus security authority as outlined in the Clery Act and the Violence Against Women Act (VAWA).

3. Record Keeping

The Faculty Ombuds is an independent contractor, not an employee, and is not subject to the NC Public Records Act. The Faculty Ombuds Office will not keep records other than general utilization data for the University, and will not create or maintain documents or records that identify individual matters. Notes and any other materials related to a matter will be maintained in a secure and confidential manner, and will be destroyed once the Faculty Ombuds Office concludes involvement in a matter. Administrative records, such as the annual report, will be retained for one year.

V. EFFECT AND AMENDMENT TO CHARTER AGREEMENT

This Charter is in effect as of January 1, 2015 and operates to define and support the work of the NC State Faculty Ombuds Office. This Charter remains in effect unless revoked by NC State. It may be amended only in writing by agreement of the Chancellor, Provost, and Faculty Ombuds.

Agreed and accepted by:

/S/

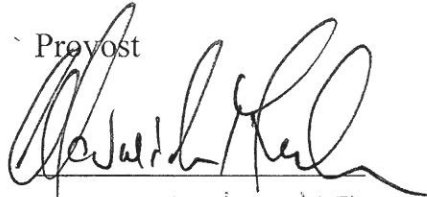
Chancellor



Dated: 10/20/15

/S/

Provost



Dated: 10/20/15

/S/


Faculty Senate



Dated: 10/20/15

/S/

Faculty Ombuds



Dated: 10/20/15

Appendix C

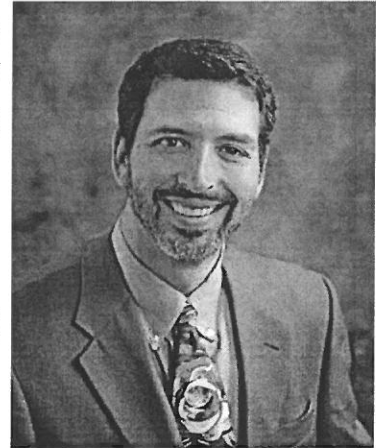
Office Description, Poster, and Case Disclosure

- Providing issue and conflict management services to the faculty community -

The Faculty Ombuds:

Roy Baroff, MA, JD

Over 30 years conflict management experience. Attorney, mediator, adjunct professor UNC Greensboro - UNC Law School - Elon Law School; International Ombudsman Association membership and training



Primary roles:

- 1) Help faculty members explore issues, concerns, and conflicts; provide information and referral; help manage matters at earliest and most informal level
- 2) Surface issues and systemic concerns to the University for review, management, and resolution

The Faculty Ombuds:

Listens to faculty members and discusses issues off-the-record

Explores ways to manage and resolve problems

Provides issue and conflict management coaching

Provides referral to other University resources

Provides systemic issues to the University in a confidential manner

The Faculty Ombuds does not:

Participate in formal internal University investigations or processes

Contacting the Faculty Ombuds Office does not place the University on notice

Provide legal advice

Provide counseling

Provide formal mediation services

The Faculty Ombuds office is:

Confidential – all communication is off-the-record with disclosure only if imminent risk of serious harm, with permission, or otherwise required by law

Informal – does not participate in formal internal University processes or actions; contact with office does not place University on notice; no records with identifiable information kept

Impartial – does not take sides in an issue or matter; seeks to facilitate understanding and communication to reach mutually acceptable resolutions

Independent – operates independently of ordinary line and staff structures; makes administrative reports to Chancellor and Provost; reports to University on trends and concerns reported to the office; current Faculty Ombuds is independent contractor (not University employee)

The Faculty Ombuds Office (Big Picture):

Part of university comprehensive issue/conflict management program. Connects, refers to, and is independent from other University services such as:

Faculty Senate, OIED, Employee Relations, University Mediation Services, GLBT Center, Women's Center, African American Cultural Center, Office of the Provost, General Counsel, Office of Faculty Development, FASAP

Contact Information:

Office hours by appointment only

T – 919-935-0922 Faculty Ombuds Office (off campus)

T – 919-542-2575 Roy Baroff, Dispute Resolution Services (off campus)

Email - **DO NOT USE EMAIL FOR CONFIDENTIAL COMMUNICATIONS**

Do not use NCSU email if you want no record of contact with the Faculty Ombuds Office.

NCSU email: rjbaroff@ncsu.edu

Off campus email: rjb@roybaroff.com

Office location – 112 Cox Ave., Ste. 213, Raleigh, NC 27605

Website: facultyombuds.ncsu.edu

NC STATE FACULTY OMBUDS OFFICE

facultyombuds.ncsu.edu

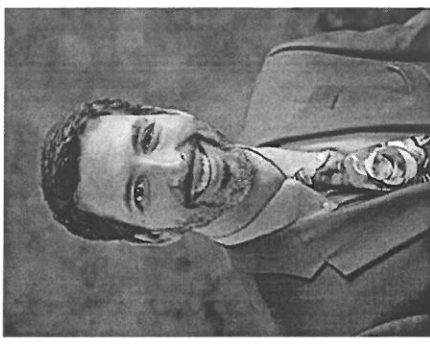
The NC State Faculty Ombuds Office provides issue and conflict management services to the faculty community.

What can the NC State Faculty Ombuds do for you?

- Provide confidential setting to discuss issues/conflicts
- Obtain information and referral
- Get impartial perspective
- Negotiation coaching
- Manage issues/conflicts informally
- Surface issues to the university
- Facilitate a meeting for you

Roy Baroff is the NC State Faculty Ombuds with almost 30 years as mediator and attorney and 10 years as adjunct professor.

Roy is an experienced conflict resolution professional.



The Faculty Ombuds Office is confidential, impartial, informal, and independent.

Office meetings by appointment only
Located off campus - free parking

(Note: Contacting the office is not notice to NC State.)

Contact the NC State Faculty Ombuds:
112 Cox Ave., Ste. 213

919-935-0922
Raleigh, NC 27605

**The following information is provided to each faculty member contacting the faculty ombuds office.
By signing the case number below the faculty member acknowledges review of this material.**

Case Number: _____

Date: _____

Faculty Ombuds Primary roles:

- a) Help faculty members explore issues, concerns, and conflicts; provide information and referral; help resolve matters at earliest and most informal level
- b) Bring systemic/trend concerns to the University for review and resolution; maintain confidentiality of information source

The Faculty Ombuds office is:

Confidential – all communication is off-the-record with disclosure only with permission, if imminent risk of serious harm, situations, or otherwise required by law

Informal – does not participate in formal internal University processes; contact with office does not place University on notice; no records kept with identifiable information

Impartial – does not take sides in any issue or matter; seeks to facilitate communication and reach mutually acceptable resolutions

Independent – operates independently of ordinary line and staff structures; makes administrative reports to Chancellor and Provost; reports to University on trends and concerns reported to the office; current Faculty Ombuds is independent contractor (not a University employee)

The Faculty Ombuds does the following:

Listens to faculty members and discusses issues off-the-record
Explores ways to resolve problems
Provides issue and conflict coaching
Provides referral to other University resources
Provides faculty member information to utilize formal University processes
Provides systemic concerns to the University in a confidential manner

The Faculty Ombuds does not:

Participate in formal internal University investigations or processes
Provide legal advice
Provide counseling
Provide direct mediation services

Appendix D

Case Data

Data is captured in six month intervals from 1/1/15 through 6/30/16

Prepared by: Roy Baroff, NC State Faculty Ombuds

The NC State Faculty Ombuds Office collects a range of case data in order to aggregate office use patterns, case types, and demographics. This information helps the office better understand and improve its operations along with surfacing larger issues for the institution.

Data note* (see below) - The office was established to serve NC State Faculty members; however, there are also contacts from students and staff. A total of 16 student and staff contacts are noted below in the total case data including 10 student (5 undergrad and 5 graduate students) and 6 staff. These contacts are generally handled by a review of the office scope and referral to either the Student Ombuds or other appropriate services. In some instances, as when the Student Ombuds was out of town, the Faculty Ombuds Office provided temporary student ombuds services (mostly listening and referral back to the Student Ombuds). With staff contacts that connected with a faculty member, the Faculty Ombuds office provided services and otherwise made referrals to existing services.

	Case data in 6 month intervals plus total	1/1/15 – 6/30/15 27 cases data for 25*	7/1/15 – 12/31/15 33 cases data for 33	1/1/16 - 6/30/16 72 cases data for 58*	1/1/15 – 6/30/16 132 cases data for 116*
A	ACTIVITY DATA				
1	Method of initial contact				
	Email	14 56%	21 64%	24 41%	59 51%
	Phone	9 36%	10 30%	34 59%	53 46%
	In person	2 8%	2 6%	0	4 3%
2	Type of first meeting				
	In person	19 76%	22 67%	45 78%	86 74%
	Phone	5 20%	11 33%	10 17%	26 22%

	Email	1 4%	0	3 5%		4 4%
3	Referred by					
	Self	9 36%	30 90%	26 36%		65 50%
	Colleague	9 36%	2 6%	12 17%		23 18%
	Print material	4 16%				4 3%
	Presentation	3 12%	1 3%	34 47%		38 29%
4	International Ombudsman Association Reporting Categories All potential and actual categories included with primary / secondary listed.					
	1. Compensation & Benefits					
	a. Compensation	1		4 / 2		5 / 2
	b. Payroll administration					
	c. Benefits					
	d. Retirement, Pension issues					
	e. Other					
	Total items reported	1 / 0	0 / 0	4 / 2		5 / 2
	2. Evaluative Relationships					
	a. Priorities, Values, Beliefs					
	b. Respect/treatment	2	2 / 1	2		6 / 1
	c. Trust/Integrity	1				1 / 0
	d. Reputation					
	e. Communication		1	1 / 1		2 / 1
	f. Bullying	1	/ 1	1		2 / 1
	g. Diversity related		/ 1			0 / 1
	h. Retaliation		2	/ 1		2 / 1
	i. Physical violence					
	j. Assignments/Schedule	2	/ 2	1		3 / 2
	k. Feedback	1	2 / 1	/ 1		3 / 2

	l. Consultation		1 / 1	1		2 / 1
	m. Performance appraisal	2	1			3 / 0
	n. Departmental climate	3	2	18 / 4		23 / 4
	o. Supervisory effectiveness	1	/ 1	2 / 1		3 / 2
	p. Insubordination					
	q. Discipline	1	/ 1			1 / 1
	r. Equity of treatment	1	1	/ 2		2 / 2
	s. Other					
	Total items reported	15 / 0	12 / 9	26 / 10		53 / 19
	3. Peer & Colleague relationship					
	a. Priorities, Values, Beliefs			/ 4		0 / 4
	b. Respect & treatment		4 / 1	5 / 5		9 / 6
	c. Trust/Integrity		1	/ 2		1 / 2
	d. Reputation			/ 1		0 / 1
	e. Communication	1	1 / 1	1 / 1		3 / 2
	f. Bullying, Mobbing	2	/ 2			2 / 2
	g. Diversity related		2			2 / 0
	h. Retaliation	2				2 / 0
	i. Physical violence					
	j. Other					
	Total items reported	5 / 0	8 / 4	6 / 13		19 / 17
	4. Career Progression & Development					
	a. Job application/Selection/ Recruitment			2		2 / 0
	b. Job classification			2 / 1		2 / 1
	c. Involuntary transfer/ Assignment change	1	1			2 / 0

d. Tenure/Position Security/ Ambiguity	/ 1	2 / 1			2 / 2
e. Career progression	1 / 1	2 / 2	2 / 1		5 / 4
f. Rotation/Duration of assignment			/ 1		0 / 1
g. Resignation		1	1 / 3		2 / 3
h. Termination/non-renewal		1			1 / 0
i. Re-employment former/ retired staff					
j. Position elimination					
k. Career development, coaching					
l. Other			/ 1		0 / 1
Total items reported	2 / 2	7 / 3	7 / 7		16 / 12
5. Legal, regulatory, financial, compliance					
a. Criminal activity			2 / 1		2 / 1
b. Business and financial practices			1 / 1		1 / 1
c. Harassment	1 / 1	/ 1	/ 1		1 / 3
d. Discrimination	/ 1		/ 1		0 / 2
e. Disability, accommodation			1 / 1		1 / 1
f. Accessibility					
g. Intellectual property		/ 1	2		2 / 1
h. Privacy & security information	1				1 / 0
i. Property damage	1				1 / 0
j. Other					
Total items reported	3 / 2	0 / 2	6 / 5		9 / 9

6. Safety, Health & Physical Environment					
a. Safety			1 / 2		1 / 2
b. Physical working/living conditions					
c. Ergonomics					
d. Cleanliness					
e. Security					
f. Telework/Flexplace					
g. Safety equipment	1				1 / 0
h. Environmental policies					
i. Work related stress & work-life balance	/ 1		1		1 / 1
j. Other					
Total items reported	1 / 1	0 / 0	2 / 2		3 / 3
7. Services/Administrative Issues					
a. Quality of services		2	1 / 2		3 / 2
b. Responsiveness/timeliness					
c. Administrative decisions/ interpretation		1	1		2 / 0
d. Behavior of service provider(s)					
e. Other					
Total items reported	0 / 0	3 / 0	2 / 2		5 / 2
8. Organizational, Strategic & Mission					
a. Strategic & mission/ management					
b. Leadership & management	1 / 2	2	2		5 / 2

	c. Use of positional power/ authority	1	1			2 / 0
	d. Communication	1		/ 1		1 / 1
	e. Restructuring and relocation	2		1		3 / 0
	f. Organizational climate	1	/ 2	3 / 2		4 / 4
	g. Change management	1				1 / 0
	h. Priority setting and/or funding					
	i. Data, methodology, interpretation	/ 1				0 / 1
	j. Interdepartmental / inter- organization					
	k. Other					
	Total items reported	7 / 3	3 / 2	6 / 3		16 / 8
9. Values, Ethics, and Standards						
	a. Standards of conduct	1	/ 1	/ 1		1 / 2
	b. Values and culture					
	c. Scientific conduct/ integrity	1				1 / 0
	d. Policies/procedures not covered above					
	e. Other	/ 1				0 / 1
	Total items reported	2 / 1	0 / 1	0 / 1		2 / 2
5	Ombuds Activity (multiple actions per case)					
	Consultation	25 71%	31 84%	54 65%		110 71%
	Referral	6 17%		13 16%		19 12%
	Information	1 3%	1 3%	7 8%		9 6%
	Confidential contact	3 9%	5 9%	9 11%		17 11%

6.	Outcome				
	Resolved	12 48%	6 18%	12 22%	30 27%
	Partially resolved	5 20%	20 61%	22 40%	47 42%
	Unresolved	1 4%	3 9%		4 3%
	Formal process	1 4%	1 3%		2 2%
	Unknown		1 3%	3 5%	4 3%
	N/A	6 24%	2 6%	18 33%	26 23%
B	DEMOGRAPHICS – FACULTY MEMBER VISITOR (some data not available)				
1.	Faculty status				
	Tenured	20 87%	22 69%	43 74%	85 75%
	Tenure track	2 9%	2 6%	4 7%	8 7%
	Non-tenure track	1 4%	8 25%	11 19%	20 18%
2	Faculty role				
	Professor	11 48%	5 15%	26 45%	42 37%
	Associate professor	5 22%	11 33%	14 24%	30 26%
	Assistant professor	3 13%	4 12%	5 9%	12 10%
	Instructor		1 3%		1 1%
	Lecturer		5 15%	6 10%	11 10%
	Dept Head	4 17%	5 15%	2 3%	11 10%
	Dean		1 3%	1 2%	2 2%
	Other		1 3%	4 7%	5 4%
3.	Gender				
	Female	9 36%	16 48%	33 57%	58 50%
	Male	16 64%	17 52%	25 43%	58 50%
	Transgender				
	Not identified				

4.	Ethnicity				
	African American/Black	2 8%	1 3%	2 3%	5 4%
	Asian/Pacific Islander	2 8%			2 2%
	Hispanic	3 12%		1 2%	4 3%
	Native American		1 3%		1 1%
	White	18 72%	29 90%	55 95%	102 89%
	Other		1 3%		1 1%
5.	Length of service				
	Less than 5 years	5 27%	9 31%	11 21%	25 25%
	5+ - 10 years	3 17%	7 24%	15 29%	25 25%
	10+ - 15 years	7 39%	6 21%	11 21%	24 24%
	15+ - 20 years			6 12%	6 6%
	20+	3 17%	7 24%	9 17%	19 19%
6.	Age				
	25 – 30		2 6%	1 2%	3 3%
	30+ - 40	5 29%	8 25%	8 14%	21 20%
	40+ - 50	5 29%	3 9%	19 33%	27 25%
	50+ - 60	5 29%	12 37%	20 34%	38 35%
	60+ - 70	1 6%	6 19%	9 15%	16 15%
	70+	1 6%		1 2%	2 2%

Appendix E

Post Contact Survey Data

NC State Faculty Ombuds Office Post Contact Survey Results (2015 Calendar Year)

Prepared by Roy Baroff, NC State Faculty Ombuds

May 2016

Introduction

The first NC State Faculty Ombuds Office opened its office in March 2015. Since then, the office has been fully operational serving NC State faculty members from across the university. As part of an effort to improve faculty ombuds services, a Post Contact Survey was developed and sent anonymously to faculty members who contacted the office in 2015 using a third party provider to ensure confidentiality. Survey sent to 49 individuals, 42 with valid contact, 23 completed/partial for a 55% return rate.

Question 1 - Faculty Ombuds Office Materials

Faculty Ombuds Office Materials	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree
Overall, the materials were easy to understand and helpful in explaining the Faculty Ombuds Office.	6	7	0	0	0
The descriptive handout (front and back) provided helpful information.	6	5	0	0	0
The Faculty Ombuds Office poster provided helpful information.	5	5	0	0	0
The Faculty Ombuds website was easy to navigate.	7	7	1	0	0
The website provided helpful information.	6	9	0	0	0
The website was helpful in planning my contact with the office.	7	6	2	0	0

Question 2 - Contacting / visiting the Faculty Ombuds Office

Contacting / visiting the Faculty Ombuds Office	Strongly agree	Agree	Neutral	Disagree	Strongly disagree
It was easy to contact the office.	17	6	0	0	0
The Faculty Ombuds returned my calls/emails in a timely manner.	19	4	0	0	0
I was able to speak and/or meet with the Faculty Ombuds in a timely manner...	20	3	0	0	0

Question 3 - About the Faculty Ombuds Office

About the Faculty Ombuds Office	Strongly agree	Agree	Neutral	Disagree	Strongly disagree
The office was was easy to find.	8	7	3	1	0
The office space contributed to a sense of privacy and confidentiality.	9	7	2	0	0
I liked that it was close, but not on campus.	13	5	1	0	0
Free parking is important for the office.	14	2	3	0	0

Question 4 - Contact with the Faculty Ombuds

Contact with the Faculty Ombuds	Strongly agree	Agree	Neutral	Disagree	Strongly disagree
The Faculty Ombuds was courteous and respectful to me.	18	2	0	0	0
The Faculty Ombuds explained the ombuds role.	19	1	0	0	0
I felt comfortable discussing my issue/conflict with the Faculty Ombuds.	18	2	0	0	0
The Faculty Ombuds listened carefully to my concerns.	19	1	0	0	0
The Faculty Ombuds helped me identify and consider options to address my concerns.	15	5	0	0	0
The Faculty Ombuds provided useful/helpful information.	11	7	2	0	0
I was better able to handle my situation following discussion with the Faculty Ombuds.	10	5	4	0	1
My issue/concern is now resolved or is closer to resolution as a result of contacting the Faculty Ombuds Office.	6	4	6	2	2

Question 4 - (continued) Contact with the Faculty Ombuds

I felt better about my issue/ situation following discussion with the Faculty Ombuds.	8	8	2	1	1
I would recommend/ refer others to the Faculty Ombuds for assistance.	14	6	1	0	0

Question 5 - If you had not contacted the Faculty Ombuds Office, what do you think you would have done?

If you had not contacted . . .	Count
Not done anything	4
Not brought the issue up as quickly	1
Continued to struggle on my own with the issue/concern	4
Not talked to anyone about the issue	3
Filed a formal grievance	2
Filed a lawsuit	3
Left the university	1
Other	2
Contacted other university resources for assistance	5

Question 6 - General Comments (used with permission of author)

Everything was fine. Just a misunderstanding that cleared up independently of the ombuds.

Roy is a very polite, courteous, and professional gentleman. He has excellent suggestions and followed up with my requests in a punctual manner.

Overall an excellent start to a cumbersome and complicated task for a university faculty that had no such support historically. Mr. Baroff is putting an honest effort doing an admirable yet admittedly tough job. We need to continue along these lines. The future looks promising for an otherwise lost cause as of several years ago. The support of the upper university administration in ensuring healthy relations between faculty and university administration is of paramount significance here. Beyond the office of Mr. Baroff, the faculty senate needs to be empowered more so as to become an effective voice of the faculty and go beyond its cosmetic value it currently has.

I am not entirely clear what role the Ombuds plays. Roy was certainly respectful and had useful information. I feel that he really heard my complaints. He did not have any authority to resolve my complaints and other university officials did not appear to respect him. I don't think this is his fault but the Office of the Ombuds does need some formal authority. In the end, I felt that he was used by NCSU administration to delay delay delay my grievance until its statute of limitations ran out.

The NC State Ombudsman was immensely valuable in providing faculty with training in facilitation. By investing his time in training others to effectively use these vital skills he exponentially magnified his positive impact on the university.

Appendix F

International Ombudsman Association Standards of Practice and Code of Ethics



INTERNATIONAL OMBUDSMAN ASSOCIATION

IOA STANDARDS OF PRACTICE

PREAMBLE

The IOA Standards of Practice are based upon and derived from the ethical principles stated in the IOA Code of Ethics.

Each Ombudsman office should have an organizational Charter or Terms of Reference, approved by senior management, articulating the principles of the Ombudsman function in that organization and their consistency with the IOA Standards of Practice.

STANDARDS OF PRACTICE

INDEPENDENCE

- 1.1 The Ombudsman Office and the Ombudsman are independent from other organizational entities.
- 1.2 The Ombudsman holds no other position within the organization which might compromise independence.
- 1.3 The Ombudsman exercises sole discretion over whether or how to act regarding an individual's concern, a trend or concerns of multiple individuals over time. The Ombudsman may also initiate action on a concern identified through the Ombudsman's direct observation.
- 1.4 The Ombudsman has access to all information and all individuals in the organization, as permitted by law.
- 1.5 The Ombudsman has authority to select Ombudsman Office staff and manage Ombudsman Office budget and operations.

NEUTRALITY AND IMPARTIALITY

- 2.1 The Ombudsman is neutral, impartial, and unaligned.
- 2.2 The Ombudsman strives for impartiality, fairness and objectivity in the treatment of people and the consideration of issues. The Ombudsman advocates for fair and equitably administered processes and does not advocate on behalf of any individual within the organization.
- 2.3 The Ombudsman is a designated neutral reporting to the highest possible level of the organization and operating independent of ordinary line and staff structures. The Ombudsman should not report to nor be structurally affiliated with any compliance function of the organization.
- 2.4 The Ombudsman serves in no additional role within the organization which would compromise the Ombudsman's neutrality. The Ombudsman should not be aligned with any formal or informal associations within the organization in a way that might create actual or perceived conflicts of interest for the Ombudsman. The Ombudsman should have no personal interest or stake in, and incur no gain or loss from, the outcome of an issue.
- 2.5 The Ombudsman has a responsibility to consider the legitimate concerns and interests of all individuals affected by the matter under consideration.
- 2.6 The Ombudsman helps develop a range of responsible options to resolve problems and facilitate discussion to identify the best options.

CONFIDENTIALITY

- 3.1 The Ombudsman holds all communications with those seeking assistance in strict confidence and takes all reasonable steps to safeguard confidentiality, including the following: The Ombudsman does not reveal, and must not be required to reveal, the identity of any individual contacting the Ombudsman Office, nor does the Ombudsman reveal information provided in confidence that could lead to the identification of any individual contacting the Ombudsman Office, without that individual's express permission, given in the course of informal discussions with the Ombudsman; the Ombudsman takes specific action related to an individual's issue only with the individual's express permission and only to the extent permitted, and even then at the sole discretion of the Ombudsman, unless such action can be taken in a way that safeguards the identity of the individual contacting the Ombudsman Office. The only exception to this privilege of confidentiality is where there appears to be imminent risk of serious harm, and where there is no other reasonable option. Whether this risk exists is a determination to be made by the Ombudsman.
- 3.2 Communications between the Ombudsman and others (made while the Ombudsman is serving in that capacity) are considered privileged. The privilege belongs to the Ombudsman and the Ombudsman Office, rather than to any party to an issue. Others cannot waive this privilege.
- 3.3 The Ombudsman does not testify in any formal process inside the organization and resists testifying in any formal process outside of the organization regarding a visitor's contact with the Ombudsman or confidential information communicated to the Ombudsman, even if given permission or requested to do so. The Ombudsman may, however, provide general, non-confidential information about the Ombudsman Office or the Ombudsman profession.
- 3.4 If the Ombudsman pursues an issue systemically (e.g., provides feedback on trends, issues, policies and practices) the Ombudsman does so in a way that safeguards the identity of individuals.
- 3.5 The Ombudsman keeps no records containing identifying information on behalf of the organization.
- 3.6 The Ombudsman maintains information (e.g., notes, phone messages, appointment calendars) in a secure location and manner, protected from inspection by others (including management), and has a consistent and standard practice for the destruction of such information.
- 3.7 The Ombudsman prepares any data and/or reports in a manner that protects confidentiality.
- 3.8 Communications made to the ombudsman are not notice to the organization. The ombudsman neither acts as agent for, nor accepts notice on behalf of, the organization and shall not serve in a position or role that is designated by the organization as a place to receive notice on behalf of the organization. However, the ombudsman may refer individuals to the appropriate place where formal notice can be made.

INFORMALITY AND OTHER STANDARDS

- 4.1 The Ombudsman functions on an informal basis by such means as: listening, providing and receiving information, identifying and reframing issues, developing a range of responsible options, and – with permission and at Ombudsman discretion – engaging in informal third-party intervention. When possible, the Ombudsman helps people develop new ways to solve problems themselves.
- 4.2 The Ombudsman as an informal and off-the-record resource pursues resolution of concerns and looks into procedural irregularities and/or broader systemic problems when appropriate.
- 4.3 The Ombudsman does not make binding decisions, mandate policies, or formally adjudicate issues for the organization.
- 4.4 The Ombudsman supplements, but does not replace, any formal channels. Use of the Ombudsman Office is voluntary, and is not a required step in any grievance process or organizational policy.
- 4.5 The Ombudsman does not participate in any formal investigative or adjudicative procedures. Formal investigations should be conducted by others. When a formal investigation is requested, the Ombudsman refers individuals to the appropriate offices or individual.
- 4.6 The Ombudsman identifies trends, issues and concerns about policies and procedures, including potential future issues and concerns, without breaching confidentiality or anonymity, and provides recommendations for responsibly addressing them.
- 4.7 The Ombudsman acts in accordance with the IOA Code of Ethics and Standards of Practice, keeps professionally current by pursuing continuing education, and provides opportunities for staff to pursue professional training.
- 4.8 The Ombudsman endeavors to be worthy of the trust placed in the Ombudsman Office.



INTERNATIONAL
OMBUDSMAN
ASSOCIATION

IOA CODE OF ETHICS

PREAMBLE

The IOA is dedicated to excellence in the practice of Ombudsman work. The IOA Code of Ethics provides a common set of professional ethical principles to which members adhere in their organizational Ombudsman practice.

Based on the traditions and values of Ombudsman practice, the Code of Ethics reflects a commitment to promote ethical conduct in the performance of the Ombudsman role and to maintain the integrity of the Ombudsman profession.

The Ombudsman shall be truthful and act with integrity, shall foster respect for all members of the organization he or she serves, and shall promote procedural fairness in the content and administration of those organizations' practices, processes, and policies.

ETHICAL PRINCIPLES

INDEPENDENCE

The Ombudsman is independent in structure, function, and appearance to the highest degree possible within the organization.

NEUTRALITY AND IMPARTIALITY

The Ombudsman, as a designated neutral, remains unaligned and impartial. The Ombudsman does not engage in any situation which could create a conflict of interest.

CONFIDENTIALITY

The Ombudsman holds all communications with those seeking assistance in strict confidence, and does not disclose confidential communications unless given permission to do so. The only exception to this privilege of confidentiality is where there appears to be imminent risk of serious harm.

INFORMALITY

The Ombudsman, as an informal resource, does not participate in any formal adjudicative or administrative procedure related to concerns brought to his/her attention.

Appendix G

International Ombudsman Association Uniform Reporting Categories

1. Compensation & Benefits

Questions, concerns, issues or inquiries about the equity, appropriateness and competitiveness of employee compensation, benefits and other benefit programs.

- 1.a **Compensation** (rate of pay, salary amount, job salary classification/level)
- 1.b **Payroll** (administration of pay, check wrong or delayed)
- 1.c **Benefits** (decisions related to medical, dental, life, vacation/sick leave, education, worker's compensation insurance, etc.)
- 1.d **Retirement, Pension** (eligibility, calculation of amount, retirement pension benefits)
- 1.e **Other** (any other employee compensation or benefit not described by the above sub-categories)

2.m Performance Appraisal/Grading

(job/academic performance in formal or informal evaluation)

- 2.n **Departmental Climate** (prevailing behaviors, norms, or attitudes within a department for which supervisors or faculty have responsibility.)
- 2.o **Supervisory Effectiveness** (management of department or classroom, failure to address issues)
- 2.p **Insubordination** (refusal to do what is asked)
- 2.q **Discipline** (appropriateness, timeliness, requirements, alternatives, or options for responding)
- 2.r **Equity of Treatment** (favoritism, one or more individuals receive preferential treatment)
- 2.s **Other** (any other evaluative relationship not described by the above sub-categories)

2. Evaluative Relationships

Questions, concerns, issues or inquiries arising between people in evaluative relationships (i.e. supervisor-employee, faculty-student.)

- 2.a **Priorities, Values, Beliefs** (differences about what should be considered important – or most important – often rooted in ethical or moral beliefs)
- 2.b **Respect/Treatment** (demonstrations of inappropriate regard for people, not listening, rudeness, crudeness, etc.)
- 2.c **Trust/Integrity** (suspicion that others are not being honest, whether or to what extent one wishes to be honest, etc.)
- 2.d **Reputation** (possible impact of rumors and/or gossip about professional or personal matters)
- 2.e **Communication** (quality and/or quantity of communication)
- 2.f **Bullying, Mobbing** (abusive, threatening, and/or coercive behaviors)
- 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)
- 2.h **Retaliation** (punitive behaviors for previous actions or comments, whistleblower)
- 2.i **Physical Violence** (actual or threats of bodily harm to another)
- 2.j **Assignments/Schedules** (appropriateness or fairness of tasks, expected volume of work)
- 2.k **Feedback** (feedback or recognition given, or responses to feedback received)
- 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)

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.)

- 3.a **Priorities, Values, Beliefs** (differences about what should be considered important – or most important – often rooted in ethical or moral beliefs)
- 3.b **Respect/Treatment** (demonstrations of inappropriate regard for people, not listening, rudeness, crudeness, etc.)
- 3.c **Trust/Integrity** (suspicion that others are not being honest, whether or to what extent one wishes to be honest, etc.)
- 3.d **Reputation** (possible impact of rumors and/or gossip about professional or personal matters)
- 3.e **Communication** (quality and/or quantity of communication)
- 3.f **Bullying, Mobbing** (abusive, threatening, and/or coercive behaviors)
- 3.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)
- 3.h **Retaliation** (punitive behaviors for previous actions or comments, whistleblower)
- 3.i **Physical Violence** (actual or threats of bodily harm to another)
- 3.j **Other** (any peer or colleague relationship not described by the above sub-categories)

4. Career Progression and Development

Questions, concerns, issues or inquiries about administrative processes and decisions regarding entering and leaving a job, what it entails, (i.e., recruitment, nature and place of assignment, job security, and separation.)

- 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)
- 4.b **Job Classification and Description** (changes or disagreements over requirements of assignment, appropriate tasks)
- 4.c **Involuntary Transfer/Change of Assignment** (notice, selection and special dislocation rights/benefits, removal from prior duties, unrequested change of work tasks)
- 4.d **Tenure/Position Security/Ambiguity** (security of position or contract, provision of secure contractual categories)
- 4.e **Career Progression** (promotion, reappointment, or tenure)
- 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)
- 4.g **Resignation** (concerns about whether or how to voluntarily terminate employment or how such a decision might be communicated appropriately)
- 4.h **Termination/Non-Renewal** (end of contract, non-renewal of contract, disputed permanent separation from organization)
- 4.i **Re-employment of Former or Retired Staff** (loss of competitive advantages associated with re-hiring retired staff, favoritism)
- 4.j **Position Elimination** (elimination or abolition of an individual's position)
- 4.k **Career Development, Coaching, Mentoring** (classroom, on-the-job, and varied assignments as training and developmental opportunities)
- 4.l **Other** (any other issues linked to recruitment, assignment, job security or separation not described by the above sub-categories)

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.

- 5.a **Criminal Activity** (threats or crimes planned, observed, or experienced, fraud)
- 5.b **Business and Financial Practices** (inappropriate actions that abuse or waste organizational finances, facilities or equipment)
- 5.c **Harassment** (unwelcome physical, verbal, written, e-mail, audio, video psychological or sexual conduct that creates a hostile or intimidating environment)
- 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.])
- 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)
- 5.f **Accessibility** (removal of physical barriers, providing ramps, elevators, etc.)
- 5.g **Intellectual Property Rights** (e.g., copyright and patent infringement)
- 5.h **Privacy and Security of Information** (release or access to individual or organizational private or confidential information)
- 5.i **Property Damage** (personal property damage, liabilities)
- 5.j **Other** (any other legal, financial and compliance issue not described by the above sub-categories)

6. Safety, Health, and Physical Environment

Questions, concerns, issues or inquiries about Safety, Health and Infrastructure-related issues.

- 6.a **Safety** (physical safety, injury, medical evacuation, meeting federal and state requirements for training and equipment)
- 6.b **Physical Working/Living Conditions** (temperature, odors, noise, available space, lighting, etc)
- 6.c **Ergonomics** (proper set-up of workstation affecting physical functioning)
- 6.d **Cleanliness** (sanitary conditions and facilities to prevent the spread of disease)
- 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)

- 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)
- 6.g **Safety Equipment** (access to/use of safety equipment as well as access to or use of safety equipment, e.g., fire extinguisher)
- 6.h **Environmental Policies** (policies not being followed, being unfair ineffective, cumbersome)
- 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)
- 6.j **Other** (any safety, health, or physical environment issue not described by the above sub-categories)

7. Services/Administrative Issues

Questions, concerns, issues or inquiries about services or administrative offices including from external parties.

- 7.a **Quality of Services** (how well services were provided, accuracy or thoroughness of information, competence, etc.)
- 7.b **Responsiveness/Timeliness** (time involved in getting a response or return call or about the time for a complete response to be provided)
- 7.c **Administrative Decisions and Interpretation/Application of Rules** (impact of non-disciplinary decisions, decisions about requests for administrative and academic services, e.g., exceptions to policy deadlines or limits, refund requests, appeals of library or parking fines, application for financial aid, etc.)
- 7.d **Behavior of Service Provider(s)** (how an administrator or staff member spoke to or dealt with a constituent, customer, or client, e.g., rude, inattentive, or impatient)
- 7.e **Other** (any services or administrative issue not described by the above sub-categories)

8. Organizational, Strategic, and Mission Related

Questions, concerns, issues or inquiries that relate to the whole or some part of an organization.

- 8.a **Strategic and Mission-Related/ Strategic and Technical Management** (principles, decisions and actions related to where and how the organization is moving)
- 8.b **Leadership and Management** (quality/capacity of management and/or management/leadership decisions, suggested training, reassignments and reorganizations)

- 8.c **Use of Positional Power/Authority** (lack or abuse of power provided by individual's position)
- 8.d **Communication** (content, style, timing, effects and amount of organizational and leader's communication, quality of communication about strategic issues)
- 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, e.g. downsizing, off shoring, outsourcing)
- 8.f **Organizational Climate** (issues related to organizational morale and/or capacity for functioning)
- 8.g **Change Management** (making, responding or adapting to organizational changes, quality of leadership in facilitating organizational change)
- 8.h **Priority Setting and/or Funding** (disputes about setting organizational/departmental priorities and/or allocation of funding within programs)
- 8.i **Data, Methodology, Interpretation of Results** (scientific disputes about the conduct, outcomes and interpretation of studies and resulting data for policy)
- 8.j **Interdepartment/Interorganization Work/Territory** (disputes about which department/organization should be doing what/taking the lead)
- 8.k **Other** (any organizational issue not described by the above sub-categories)

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 **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)
- 9.b **Values and Culture** (questions, concerns or issues about the values or culture of the organization)
- 9.c **Scientific Conduct/Integrity** (scientific or research misconduct or misdemeanors, e.g., authorship; falsification of results)
- 9.d **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, e.g., appropriate dress, use of internet or cell phones)
- 9.e **Other** (Other policy, procedure, ethics or standards issues not described in the above sub-categories)