

Opening an Ombuds Office: From the Ground Up and Beyond

Version 2.0

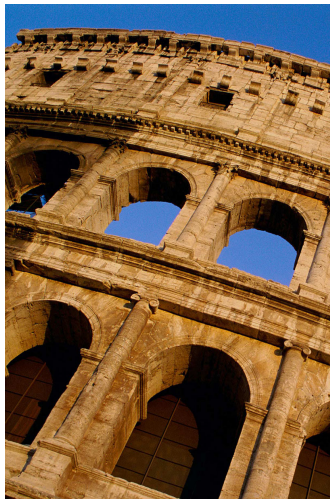
Roy Baroff
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University of Oregon Ombudsperson

International Ombudsman Association Annual
Meeting

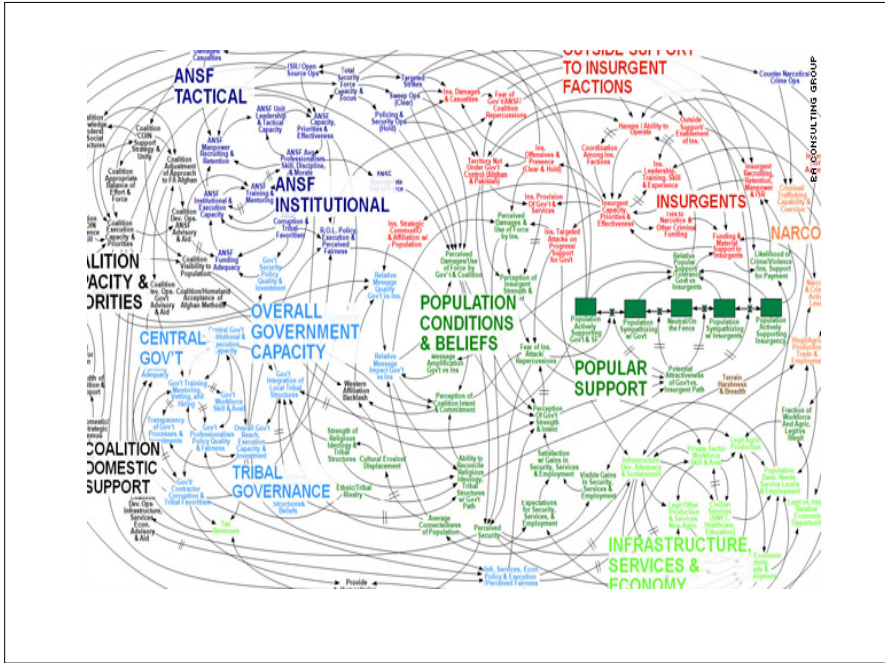
Tuesday, April 24, 2017
Concurrent Session 3
1:00 - 2:30 pm

Minneapolis, MN




AGENDA

- **Intro to NC State & University of Oregon ombuds/ombudsperson offices**
- **Office and Role Expectations -
Measuring success / Working with groups**
- **Financial considerations -
Budget / Projecting caseload / Resources**
- **Case Tracking -
Data Collection / Reporting**
- **Office documents -
Charter/Terms of Reference / Intake / Educational Marketing**
- **Networking -
Internal / External**
- **Other stuff and dinner plans !**



Program Goals and Who's here ??

A diverse group of people, including men and women of various ethnicities, are shown in a movie theater. They are all wearing dark sunglasses and smiling at the camera. In the foreground, a man and a woman are prominently featured, both wearing sunglasses and holding large red bowls of popcorn. The man is wearing a white button-down shirt, and the woman is wearing a grey long-sleeved shirt. Behind them, several other people are visible, also wearing sunglasses and holding popcorn. The theater seats are dark purple, and the overall atmosphere is bright and cheerful.

NC State University Raleigh, NC

Land grant university - founded 1887

34,000 students

2,400 faculty

6,600 staff

10 Colleges

Agriculture & Life Sciences, Design, Education,
Engineering, Natural Resources, Humanities & Social
Sciences, Sciences, Textiles, Management, Vet
Medicine

Chancellor - Randy Woodson

Provost - Warwick Arden

Student Ombuds Services - September 2014

Faculty Ombuds Office - February 2015

Staff Ombuds Office (pilot) - January 2017



University of Oregon Eugene, OR

Public research university – founded 1876

Over 24,000 students

2,081 faculty

4,625 staff

Over 300 academic programs

President – Michael Schill

Ombuds Program founded in 2012

- 3 staff, 2 – 5 interns



Office and Role Expectations

- **Demonstrating value / measuring success
(Mary Rowe's Question)**
- **Working with groups**
- **Office startup basics**
Physical space

Demonstrating Value

Data about cases

Number of presentations / workshops

- How many employees did you present to over the course of the year?
- What were the topics? Were there changes to conflict levels after trainings?

Program Accomplishments

- Did you host an event?
- Did you assist units in dealing with a major organizational change?

Future goals and program needs

- Do you need additional space?

Measuring success

Individual

Group

Institution

BASICS OF OFFICE START-UP (first week on the job)

- ☐ **Setting up physical office space**
- ☐ **Discussing budget**
- ☐ **Set up web presence**
- ☐ **Begin creating office documents**
- ☐ **Set up database**
- ☐ **Begin outreach / networking**
- ☐ **Create marketing material**

Physical Office Space

**It's great to be part of the conversation
about office space ahead of time, if possible**

- ADA accessible**
- Convenient yet private**
- Properly soundproofed**
- Adequate to provide services you offer**

Other considerations:

- Necessary equipment / supplies**
- Who else has access?**

Financial Considerations

Budget

Allocating resources

Projecting caseload

Budget

When creating a budget, you first need to find out how the university/organization categorizes budget items.

For example, at OLE MISS:

- Commodities (office supplies, etc.)**
- Contractual services (software, training)**
- Equipment**
- Travel**
- Telecommunications**
- Salaries and benefits**

Allocating Resources / Projecting caseload

How to project caseload:

- Size of the organization**
- Type of constituency (employees, students?)**
- Other similar resources at organization (i.e. does HR do a lot of labor relations?)**
- Any special needs of organization?**
- For organizations serving employees, a good starting point is between 1 and 5% of the population you serve, per year**

How to predict staffing needs based on caseload:

- What types of services do you provide?**
- Compare with similar institutions**
- Ask other ombuds in your field if they know how many hours they spend per case**

Case Tracking



Data Collection

Variety of options including:

- Paper forms and paper filing system**
- Computer program such as excel spreadsheet**
- Database maintained by a third-party /company**
- Custom-built case tracking system**

University of Mississippi Case Tracking Form

CASE TRACKING FORM

Constituent Group (check all that apply)

☐ Non-Supervisory Staff (☐ Classified / ☐ Exempt)
☐ Manager / Supervisor
☐ Faculty / Instructor (☐ Tenure track / ☐ Non-tenure track)
☐ Faculty Administrator
☐ Non-Faculty Administrator
☐ Graduate Student
☐ Other

Gender ☐ Female ☐ Male ☐ Identify otherwise ☐ Prefer not to answer
Ethnicity ☐ White / Caucasian ☐ Black / African American ☐ Asian / Indian
☐ Hispanic ☐ Multi-racial ☐ Identify otherwise ☐ Prefer not to answer

Department: _____ **Years of Service:** _____

Other action previously taken: ☐ None ☐ Discussed with supervisor
☐ Discussed with party to grievance ☐ Discussed with HR ☐ Formal action taken

How did you hear about the Office of the Ombudsperson?

☐ Supervisor ☐ Colleague ☐ HR ☐ EO/RC ☐ Counseling Office
☐ Outreach by Ombudsperson ☐ On-line ☐ Other ☐ Undisclosed

Initial Contact Date: _____ **Date Case Closed:** _____

Number of Meetings: _____ **Total Case Complainants (multi-party cases):** _____

Total Hours Spent on Case: _____ **Respondents:** _____

Assistance Provided:

☐ Coaching (incl. problem-solving/exploration, policy guidance, etc.)
☐ Referral / Information to campus resource
☐ Inquiry / Information Gathering from campus office on behalf of visitor
☐ Facilitation, mediation, and/or shuttle diplomacy
☐ Intercession (intervening to contact campus office on behalf of fairness)
☐ Climate Assessment / Group Facilitation
☐ Other: _____

Result of Office of the Ombudsperson Involvement:

Positive Result:

☐ Improved/resolved through assistance to one party (or group with shared concern)
☐ Resolved through mediation, facilitation, or shuttle diplomacy
☐ Workshop or training provided (services completed with positive outcome)
☐ Unit Assessment provided (services completed with positive outcome)
☐ Intercession on behalf of fairness/equity with positive outcome
☐ Policy improved/problem recognized and addressed based on OO action
☐ Formal action avoided (including separation from workplace unit)

1 - Compensation and Benefits

☐ 1.a Compensation
☐ 1.b Payroll
☐ 1.c Benefits
☐ 1.d Retirement, Pension

2 - Evaluative Relationships

☐ 2.a Priorities, Values, Beliefs
☐ 2.b Respect/Treatment
☐ 2.c Trust, Integrity
☐ 2.d Reputations
☐ 2.e Communication
☐ 2.f Bullying/Mobbing
☐ 2.g Diversity-Related
☐ 2.h Retaliation
☐ 2.i Physical Violence
☐ 2.j Assignments/Schedules
☐ 2.k Feedback
☐ 2.l Consultation (advising)
☐ 2.m Performance Appraisal
☐ 2.n Climate
☐ 2.o Supervisory Effectiveness
☐ 2.p Insubordination
☐ 2.q Discipline
☐ 2.r Equity of Treatment

3 - Peer / Colleague Relationships

☐ 3.a Priorities, Values, Beliefs
☐ 3.b Respect/Treatment
☐ 3.c Trust, Integrity
☐ 3.d Reputations
☐ 3.e Communication
☐ 3.f Bullying/Mobbing
☐ 3.g Diversity-Related
☐ 3.h Retaliation

4 - Duration/Rotation

☐ 4.a Resignation/Termination
☐ 4.b Re-employment of Former
☐ 4.c Position Elimination
☐ 4.d Development/Coaching

5 - Legal, Regulatory, Financial

☐ 5.a Criminal Activity
☐ 5.b Business / Financial Practice
☐ 5.c Harassment
☐ 5.d Discrimination
☐ 5.e Disability/Accommodations
☐ 5.f Accessibility
☐ 5.g Intellectual Property
☐ 5.h Privacy/Security of Inform.
☐ 5.i Property Damage

6 - Safety, Health, and Environment

☐ 6.a-e, h. Phys. Safety/Work Cond.
☐ 6.f Flexibility
☐ 6.g Equipment
☐ 6.h Work-related Stress

7 - Services / Administrative

☐ 7.a, b Quality of Services/Time
☐ 7.c Admin. Decisions
☐ 7.d Behaviors of Providers

8 - Organizational, Strategic, and Mission

☐ 8.a Strategic/Mission-Related
☐ 8.b Leadership/Use of Power
☐ 8.c Communication
☐ 8.d Restructuring/Relocation
☐ 8.e Organizational Climate
☐ 8.f Change Management

Example of database (VU)

Now viewing Hilary Deering's screen

Talking: Hilary Deering

Webcam Zoom: 63%

Case Reference: PY2017-055 International Status: [dropdown]

Age Range: [dropdown] Visitor Category: [dropdown]

Gender: [dropdown] Bargaining Unit Status: [dropdown]

Ethnicity: [dropdown] Visitor Organization: [dropdown]

Student Ombuds Office - Case Management

Case Management

Return to Listing | Search Cases | New Entry | Logout

These tabs are visible:

General Information

Type of Initial Contact: [dropdown] Visitor Type: [dropdown] Visitor Type Subtype: [dropdown]

Case Status: [dropdown]

Current Status: [dropdown]

Text for student to contact: [text area]

Issue

Origin of Issue: [dropdown] Concern Type: [dropdown] Department: [dropdown] Course Number: [dropdown] Academic Integrity Issue: [dropdown]

Number of Offenses: [dropdown] Penalty Requested: [dropdown] Assignment Type: [dropdown] Source of Record: [dropdown]

History/Event/Related

History: [checkbox] College of Agriculture, Food & Environment: [checkbox] College of Arts & Sciences: [checkbox] College of Communication & Information: [checkbox] College of Education: [checkbox] College of Engineering: [checkbox] College of Health: [checkbox] College of Management: [checkbox] College of Science: [checkbox] College of Social & Behavioral Sciences: [checkbox] College of Veterinary Medicine: [checkbox] Other: [checkbox]

University of Oregon-VU Case Management WebConference Now

University of Oregon Case Tracking System

A. Visitor Demographic Information

Visitor Contact and Demographics:

Case Reference: [text] Case ID: PY2017-055 International Status: [dropdown]

Age Range: [dropdown] Visitor Category: [dropdown]

Gender: [dropdown] Bargaining Unit Status: [dropdown]

Ethnicity: [dropdown] Visitor Organization: [dropdown]

B. Visitor Issue Information

(Select all that apply)

1 - Compensation and Benefits

(1.a) Compensation (1.b) Payroll (1.c) Benefits (1.d) Retirement, Pension (1.e) Other compensation issue

2 - Evaluative Relationships

(2.1) Position, Values, Beliefs (2.2) Physical Violence (2.3) Supervisory Effectiveness (2.4) Retaliation (2.5) Sexual Harassment (2.6) Discrimination (2.7) Bullying/Mobbing (2.8) Other Evaluative Relationship Issue

3 - Peer/Colleague Relationships

(3.a) Position, Values, Beliefs (3.b) Trust, Integrity (3.c) Communication (3.d) Diversity-Related (3.e) Physical Violence (3.f) Retaliation (3.g) Bullying/Mobbing (3.h) Other Peer/Colleague Relationship Issue

4 - Career Progression/Development

(4.a) Job Application/Selection (4.b) Career Progression (4.c) Re-employment of Former (4.d) Job Classification/Description (4.e) Question/Position (4.f) Position Elimination (4.g) Resignation (4.h) Development/Coaching (4.i) Promotion Security/Integrity (4.j) Termination/Non-Renewal (4.k) Other Career Progression Issue

5 - Legal, Regulatory, Financial

(5.a) Criminal Activity (5.b) Disability/Accommodation (5.c) Property Damage (5.d) Business/Financial Practice (5.e) Accessibility (5.f) Other Legal, Regulatory, Financial, Compliance Issue (5.g) Harassment (5.h) Intellectual Property (5.i) Discrimination (5.j) Privacy/Security of Information

C. Ombuds Followup, Custom Initiatives & Outreach

Followup activities facilitated by Ombuds: (Select all that apply)

No Special Followup Friends Briefing General Training Session

Customized Training or Referral Executive Report Full Organizational Assessment

Facilitated Meeting Followup to Informal Request Special Presentation

Outreach Session Special Governance Request Special Executive Request

Organizational Intervention Special Executive Request Other Initiative/Customized Training

Invited Presentation Other Initiative/Customized Training

D. Visitor Referral Information

1. Referral from: (Select all that apply)

Self/No Referral Source Student Life Student Life Service (counseling & other) Internal Compliance Service

Manager President Academic Affairs Registrar Office of the President

Dean/Provost, Dean Vice Provost/Dean of Academic Affairs Internal Source

Provost Under Academic - Union Official Student

Other Other Provost/Dean of Academic Affairs

2. Referred visitor to: (Select all that apply)

AAEEO Student response unit/service Student Grade Appeal Title IX Office

Academic Affairs SLP Student Office Other Internal Resource

Provost Disability Services Risk Management/Affairs Other External Resource

Employee Resource Process Student Counseling Student Health Law Enforcement/AJOPD

Student Omb Student Conduct Office President's Office

E. Case Processing Information

Date Opened: November 8, 2016 Total Number of Visits: [text]

Date Closed: [text] Est. Follow up Hours: [text]

Total Calendar Days: 0 Total Contact Hours: [text]

Number of phone contacts: [text] Ombudsperson: [text]

Return Visitor: [text] Associate Ombuds: [text]

NCSU Faculty Ombuds Office Case Intake Form Case # _____

1. Opening date: _____
2. Method of Initial Contact: a-Phone b-Email c-in person d-Walk in e-Mail
3. Type of first meeting: a-in person meeting b-phone c-email d-other 4. Disclosure signed: a-yes b-no
5. Referred by: a-self b-print material c-website d-colleague e-presentation f-training g-other _____

Case issues, questions, or concerns: _____

6. IOA Uniform Reporting Categories: _____
7. Ombuds Activity: a-consultation b-information c-referral d-confidential contact d-no show/canceled
8. Outcome: a-resolved b-partially resolved c-unresolved d-formal process e-unknown f-N/A
9. # of participants: _____ 10. # of contacts: _____ 11. Time spent: _____
12. Trend/system issue: a-yes b-no _____

- Demographics of faculty member visitor (fmy):**
13. Faculty status: a-tenured b-tenure track c-non-tenure track 14. Length of service: _____ 15. Age: _____
 16. Faculty role: a-prof b-associate prof c-asst. prof d-instructor e-lecturer f-dept head g-dean h-other
 17. Gender: a-female b-male c-transgender d-not identified 18. College/Department: _____
 19. Ethnicity: a-Black/African American b-Asian/Pacific Islander c-Hispanic d-Native American e-White f-Other

- Demographics of person of concern (poc):**
20. Status: a-tenured faculty b-tenure track faculty c-non-tenure track d-staff e-N/A
 21. Faculty role: a-prof b-associate prof c-asst. prof d-instructor e-lecturer f-dept head g-dean h-other
 22. Gender: a-female b-male c-transgender d-not identified 23. Age: _____
 24. Ethnicity: a-Black/African American b-Asian/Pacific Islander c-Hispanic d-Native American e-White f-Other
 25. College/Department: _____ 26. Length of service: _____

Office Documents

- What kind of reports and to whom?

- Internal
 - Chancellor
 - Provost
- External
 - Faculty Senate
 - Website

Office documents

Documents to consider:

- Intake forms
- New Visitor Info / Informed Consent
(NOT a signed document)
- Forms for tracking cases, if needed
- Office Policies and Procedures
- Charter Agreement

Marketing:

- Brochures
- Flyers

Office Charter / Terms of Reference

Start working early

You take the lead

Create small working group

Share drafts (it took 20 for Charter)
with larger group for input and
consensus building

Get it signed !

Charter signing at General Faculty
Meeting

October 2015



Operations Materials

- Office forms
- Internal
 - Disclosure form
 - Data collection
 - Reports (see later in presentation)
 - Storage
- External
 - Marketing (Educational Marketing)
 - Handout Poster Cards Website Brochure
 - Podcasts, video Social media ?
 - Other ?

NCSU Faculty Ombuds Office

Case Disclosure Form

Case # _____

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

Case Number: _____ Date: _____

Faculty Ombuds Primary roles:

- Help faculty members explore issues, concerns, and conflicts; provide information and referral; help resolve matters at earliest and most informal level
- Bring systemic concerns to the University for review and resolution

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

Networking

Print Materials

Website

Meet and Greet

Introductions by your organization

Presence at events

Presentations – examples:

- **Faculty / Staff Senate**
- **Different units / departments**
- **New employee orientations**

Initiatives

Be Nice Campaign

Transition Stories

Other Topics of Interest?

Dinner Tonight ?!

**If you don't have a plan,
let's make one !!**



Contact Information

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**NC State Faculty & Staff
Ombuds**

**University of Oregon
Ombudsperson**

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