

Opening an Ombuds Office From the Ground Up and Beyond

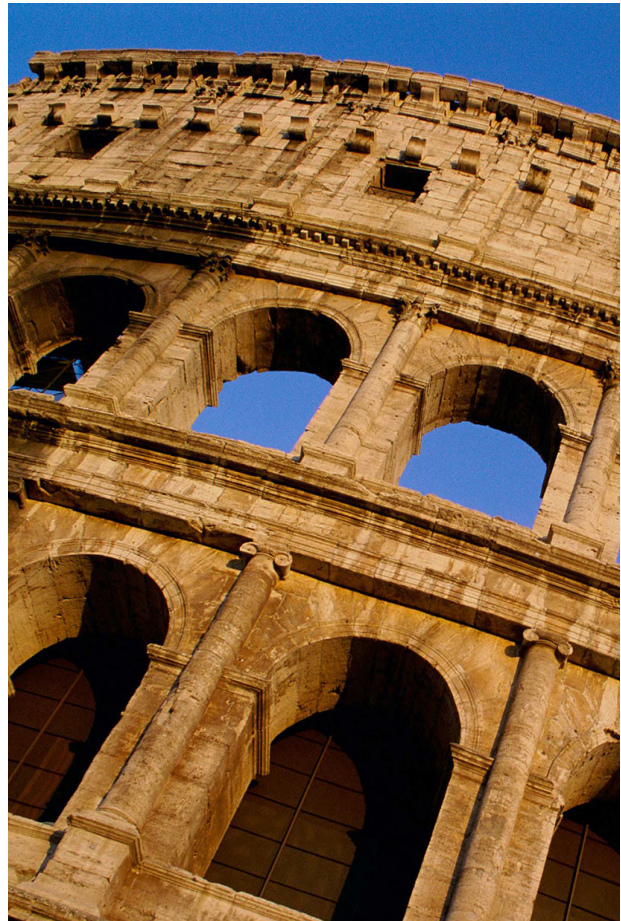
The North Carolina State Faculty Ombuds Office

Roy Baroff
NC State Faculty Ombuds

**International Ombudsman Association
Annual Meeting 2016**

**Concurrent Session 1 - 1:30 pm - 3:30
pm 4/11/16**

Seattle, WA



**Office presentation at
department faculty meeting**

Ombuds office presentation

- **Go to your constituents**
 - **Presentation considerations -**
 - **To powerpoint or not to powerpoint, that is a question !!!**
 - **Length of time**
 - **Topics to cover: Office, core values, background, website - all through lens of “what can I do for you?”**
 - **Materials**
 - **Meet the Faculty Ombuds Program**

Meetings to date

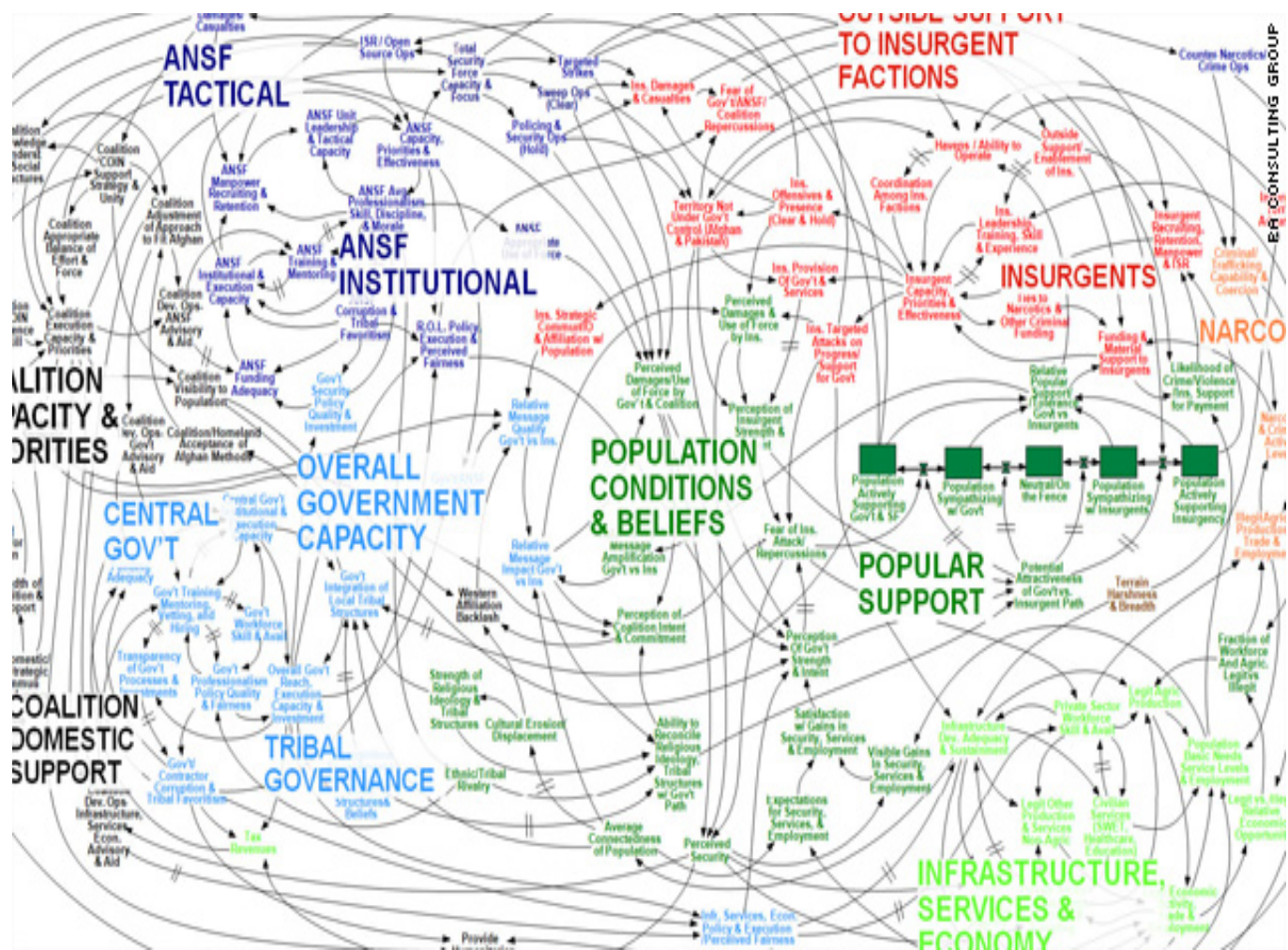
- **2015 - 130 meetings including Departmental faculty meetings, Faculty Senate, Administrative Leadership, University Council, faculty and/or administrator one on one, lunches, coffee, receptions, trainings, classroom teaching (not including direct case activities)**
- **Contacts with over 1500 people**
- **Idea - be separate from and connected to your institution and constituents**

Program Goals

Think like an entrepreneur

Make connections with colleagues

Take home one idea



AGENDA

- **Office presentation**
 - **Topic and presenter introduction**
 - **NC State intro and Ombuds Office timeline**
 - **Infrastructure development including office location**
 - **Charter**
 - **Operations Materials**
 - **Initiatives**
 - **Other topics of interest ??**

NC State University

Land grant university 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



Faculty Ombuds Office Timeline

- **2008 - Ombuds Group convened by Provost**
- **2011 - Update to Faculty Senate**
- **2012 - Faculty Senate Resolution to institute Ombuds position**
- **2014 (August) - NC State Request For Proposal**
- **2014 (December) - Ombuds hired**
- **2015 (March) - Office opened**

North Carolina State University

THINK AND DO AT NC STATE

**To solve the great challenges facing our world,
you need more than good ideas.**

You need practical solutions.

At NC State, that reality guides everything we do.

**We bring the best minds together, encourage them to think boldly and
put their ideas to work in the real world.**

That's thinking and doing.

**Link and brand your
office to your institution**

**At the NC State Faculty Ombuds Office,
We think and do issue / conflict resolution.**

Infrastructure

- **Big picture considerations**
- **Office location & logistics**
 - **Communication aspects**
 - **Computer**

Office location and logistics

On or off campus

Computer

Communication

Phone

Email

Storage





Office Charter

Start working early

You take the lead

Create small working group

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

Get it signed !

**Charter signing at
General Faculty
Meeting**

October 2015



Office Charter Considerations/Highlights

- **IOA Standards**
 - **Reporting**
 - **Confidentiality**
 - **Notice**
 - **Scope of work**

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/

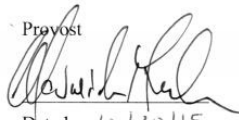
Chancellor



Dated: 10/20/15

/S/

Provost



Dated: 10/20/15

/S/

Faculty Senate



Dated: 10/20/15

/S/

Faculty Ombuds



Dated: 10/20/15

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 ?**

Internal

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:

- 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 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

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: _____

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. 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)

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)

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)
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- 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)
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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)
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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)
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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)
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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)
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NC State Faculty Ombuds Data Report 12/14 - 6/15

NCSU Faculty Ombuds Office	2023-2024																										
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		b	a	a	e	5e	a,c	b	1	4	3h	b	b	a	26	62	b	b		e	a	f	b		e		
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	1	c	a	b	a	2k	a	a	1	1	1	a	b	a	13	42	f	b		e	c	c	a	35	e		2

Post Contact Survey



NC STATE UNIVERSITY

Default Question Block

Your feedback is critical to the development and growth of the Faculty Ombuds Office.

Many thanks for your thoughtful participation.

Faculty Ombuds Office Materials

	Strongly Agree	Agree	Neutral	Disagree	Strongly Disagree	I did not see the materials.
Overall, the materials were easy to understand and helpful in explaining the Faculty Ombuds Office.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The descriptive handout (front and back) provided helpful information.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Faculty Ombuds Office poster provided helpful information.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Faculty Ombuds website was easy to navigate.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The website provided helpful information.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The website was helpful in planning my contact with the office.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Contacting/visiting the Faculty Ombuds Office

	Strongly agree	Agree	Neutral	Disagree	Strongly disagree
It was easy to contact the office.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Faculty Ombuds returned my calls/emails in a timely manner.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I was able to speak and/or meet with the Faculty Ombuds in a timely manner for my issue/concern.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

The Faculty Ombuds Office

	Strongly agree	Agree	Neutral	Disagree	Strongly disagree
The office was was easy to find.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The office space contributed to a sense of privacy and confidentiality.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I liked that it was close, but not on campus.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Free parking is important for the office.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Contact with the Faculty Ombuds

	Strongly agree	Agree	Neutral	Disagree	Strongly disagree
The Faculty Ombuds was courteous and respectful to me.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Faculty Ombuds explained the ombuds role.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I felt comfortable discussing my issue/conflict with the Faculty Ombuds.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Faculty Ombuds listened carefully to my concerns.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
The Faculty Ombuds helped me identify and consider options to address my concerns.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
	Strongly agree	Agree	Neutral	Disagree	Strongly disagree
The Faculty Ombuds provided useful/helpful information.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I was better able to handle my situation following discussion with the Faculty Ombuds.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
My issue/concern is now resolved or is closer to resolution as a result of contacting the Faculty Ombuds Office.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I felt better about my issue/situation following discussion with the Faculty Ombuds.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
I would recommend/refer others to the Faculty Ombuds for assistance.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

**If you had not used the Faculty Ombuds Office, what do you think you would have done to address your issue/concern?
(Check all that apply.)**

- ☐ Not done anything
- ☐ Not brought the issue up as quickly
- ☐ Continued to struggle on my own with the issue/concern
- ☐ Not talked to anyone about the issue
- ☐ Contacted other university resources for assistance
- ☐ Filed a formal grievance
- ☐ Filed a lawsuit
- ☐ Left the university
- ☐ Other

Comments, Suggestions, or Feedback.

Please use the space below for any additional comments, suggestions, or feedback.

NOTE: To ensure confidentiality, please do not include identifiable information in your response.

**Use of comments request: There are times when use of comments is helpful in our educational material.
Please provide your direction below.**

- ☐ Yes - you can use my anonymous comments for this purpose
- ☐ No - you do not have permission to use my comments for outreach activities

Block 1

Thank you. Please be sure to click on the 'submit' button to submit your responses. If you would like to review your responses before submitting, use the "Back" button to go back through the survey. When you are satisfied with your responses, click on the 'submit' button.

External

Providing issue and conflict resolution services to the faculty community

The Faculty Ombuds: Roy Baroff, MA, JD

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



Primary roles:

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

The Faculty Ombuds:

- 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 information for placing the University on notice if a faculty member decides to do so
- 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 formal mediation services

The Faculty Ombuds office is:

Confidential – all communication is off-the-record with disclosure only if imminent risk of serious harm, situations of abuse or neglect, with permission, or 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 resolution 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, 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
and 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 resolution services to the faculty community.

What can the faculty ombuds do for you?

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

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

Roy Baroff is the NC State Faculty Ombuds with over 25 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

919-935-0922
Raleigh, NC 27605

Website

- **Website considerations**
- **Structure**
- **Blog**
- **Let's take a look**



Faculty Ombuds

Search



[Faculty Ombuds Office](#) [Meet the Faculty Ombuds](#) [Resources](#) [Blog](#) [Contact](#)

Faculty Ombuds Office

Greetings NC State Faculty!

I'm Roy Baroff, your NC State Faculty Ombuds. I have over 25 years experience in the dispute resolution field as a mediator and attorney. I'm delighted to bring this experience to the Faculty Ombuds Office. For detailed information – [Meet the Faculty Ombuds](#).

The faculty ombuds has two primary roles.

First, the faculty ombuds is a confidential resource, a sounding board that also provides information, discusses University policies and procedures, and helps faculty resolve situations early.

Second, the faculty ombuds serves as a listening post for systemic concerns and brings these to the attention of the University.

The faculty ombuds office is independent, impartial, informal and confidential. It operates consistently with directives from the International Ombudsman Association – the [IOA Code of Ethics](#) and [IOA Standards of Practice](#).

Learn more about our [Principles & Practices](#) or seek answers to common questions – [FAQ](#) – about the office.

[Contact](#) the NC State Faculty Ombuds for more information, to discuss an issue or situation confidentially, or to set up an appointment.





Faculty Ombuds

Search



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Meet the Faculty Ombuds

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Roy Baroff is an experienced conflict resolution professional. He is an attorney, mediator, arbitrator, educator, and ombuds. He's represented clients in a range of settings, mediates litigated cases, serves as an arbitrator, and he's an adjunct professor (he knows what its like to be in the classroom). He received Ombuds training in 2007.

He is the NC State Faculty Ombuds and looks forward to working with you.

Roy believes that for most of us, we do our best when we can think through an issue with a trusted family member, friend, or advisor. The Faculty Ombuds role is just that – a confidential resource to serve as a sounding board, a coach, an information source, to help NC State Faculty discuss a situation and determine how to proceed.

Roy grew up in the Triangle, attended high school, college and law school nearby, and is honored to serve as the first NC State Faculty Ombuds.

For more information on Roy's background and experience.

- [Roy Baroff – CV](#)
- [Roy Baroff – Dispute Resolution Resume](#)



For some articles written by Roy Baroff.

- | | | |
|--|------|---------------------------|
| Ombuds in the Law and at NC State University | 2016 | Roy Baroff |
| NC Superior Court Mediation Article | 2008 | Roy Baroff |
| What is Leadership? | 2005 | Roy Baroff & Bill Sanford |
| Soccer Journal | 2004 | Roy Baroff & Bill Sanford |

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Resources

Search

This page provides NC State Faculty Ombuds Office materials, University links, International Ombudsman Association materials, and items to help you deal with issues or conflicts that might arise.

Faculty Ombuds Office

- [NC State Faculty Ombuds Charter](#)
- [Office policies and procedures \(under development\)](#)
- [Faculty Ombuds Office Handout](#)
- [Faculty Ombuds Office Poster](#)
- [Formal v Informal comparison chart](#)

University Policies, Procedures & Rules

- [Faculty Grievance and Non-Reappointment Review](#)
-

International Ombudsman Association

- [IOA Code of Ethics](#)
- [IOA Standards of Practice](#)
- [IOA Uniform Reporting Categories](#)

Dealing with difficult situations

- It's important to analyze and think through all perspectives when addressing a difficult situation. In particular, it can be helpful to explore the underlying factors, the interests, that are most important to you and others in the situation. Consider using this tool –[Issue Conflict Dispute Difference Analysis Tool](#)
- Here's a model for approaching a difficult situation – [THINK model](#)
- What's your "Conflict Style" and how do you generally deal with difficult situations? Research in the conflict resolution field suggests that we use different "styles" in different situations with each being an excellent or bad choice depending on circumstances. We also generally have a style we prefer. Check out – [Conflict Styles Information](#) and you can even take a short quiz to get you thinking about your preferred style – [Conflict-management-styles-quiz](#)

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Go Far Together

Posted on **March 8, 2016** by **Roy Baroff**

I recently heard an interview of Cory Booker, Senator from New Jersey. He was asked about the divisiveness in Washington and about how he worked with Governor Christie when Booker was mayor of Newark. Booker explained that even when you had significant differences, it was still important to make connections and build relationships. He talked about the many projects developed with Governor Christie as well as his visits across the aisle in the Senate including lunch with Senator Cruz. Booker then recounted an African proverb to explain part of his thinking:

If you want to go fast, go alone. If you want to go far, go together.

This very much captures the work of the NC State Faculty Ombuds Office where my goal is to “go far together.” I think of the faculty ombuds’ role as working in partnership with faculty members that reach out for help. And, I’m very much a believer in going far as compared to fast. I also very much support the idea of building and sometimes even rebuilding connections or relationships. In fact, I think relationship building is a key component of resolving conflicts and I often talk with faculty about how to make a connection or repair one that has fallen on hard times.

Let me know if I can help you think though an issue and make connections. And, I’m happy if we can go fast and far together!!

Posted in **Uncategorized** | Tagged **proverb, relationships** | **Leave a reply**

Coming to a Meeting in Your Galaxy !

Posted on **January 15, 2016** by **Roy Baroff**

First, a Happy 2016 to all at NC State University! And, now that we’ve enjoyed a fine holiday season, it’s time to get moving in the new year! With that in mind, I’m reviewing where I’ve been and where I still need to go.

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Contact

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Please give me a call and we can discuss your situation and schedule a meeting.

Office hours are by appointment only and are flexible to meet your needs.

(the NC State Faculty Ombuds is currently a part-time position, so the office is not continually staffed.)

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

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

You can also use email; however, all email sent via the NCSU system is not confidential and may be retained. Do not use email for confidential communications. You can email me off campus if you prefer.

NC State email: rjbaroff@ncsu.edu

Off campus email: rjb@roybaroff.com

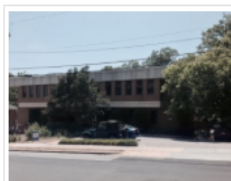
Office location – 112 Cox Ave., Ste. 213, Raleigh, NC 27605

Office is on second floor of the Women's Center of Wake County with free parking at the front and behind the building.

Access is via the front door, through a reception area (you do not need to check in) and upstairs. Stairs and an elevator are located in the hall past the reception area. Once on the second floor look for signs – NC State Faculty Ombuds Office.

There is a second entrance on the ground floor at the back of the building and I can meet you at the door (it is otherwise locked) if you prefer that entrance.

I look forward to hearing from you.



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Office Reporting Materials

- **What kind of reports and to whom?**
 - **Internal**
 - **Chancellor**
 - **Provost**
 - **External**
 - **Faculty Senate**
 - **Website**

NC STATE UNIVERSITY

Faulty Ombuds Office

Issue and conflict resolution services to the faculty community

Roy Baroff - MA, JD - Faculty Ombuds

facultyombuds.ncsu.edu

To - NC State Faculty Senate
From - Roy Baroff, NC State Faculty Ombuds
Date - 10/6/15
Report - Office Update

Office development and education

- Start date 12/1/14 with office open in late February 2015
- Office Charter completed - signing 10/20/15
- Presentations for department and other faculty/staff meetings
- Website operational - facultyombuds.ncsu.edu
- Faculty Senate contact, attend Senate meetings
- "Meet the Faculty Ombuds" program
- Meet with NC State Staff and Faculty to learn of existing services
- Attended International Ombudsman Association Annual Meeting
- Handouts, brochure, and poster development
- New Faculty Orientation presentation
- OFD Workshop - Conflict Styles and Difficult Conversations
- Facilitation training for Faculty Extension Agents

Ombuds activities and case examples (office, email & telephonic contacts)

- Cases opened = 39
- Public presentations/meetings = 93
- People at presentations/meetings = 936 +/-
- Obtain requested information while maintaining confidentiality
- Faculty referrals to and coaching with existing services
- Examples: adult dx of ADHD, concern about materials submitted in post-tenure review, concern that faculty member not listening to issues presented or taking action based on only one side of the situation or creating hostile work environment, help planning a meeting, questions about damage to vehicle due to speed bump on campus, negotiation coaching, etc.

NC State Faculty Ombuds Office
919.935.0922 (off campus number)

112 Cox Ave., Ste. 213, Raleigh, NC 27605
919.542.2575 (Roy Baroff Office)

Initiatives

Be Nice Campaign

Faculty Resolution Resources



Faculty Ombuds



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- [Faculty Resolution Resources](#)
- [Be Nice Campaign – Hard on Problems, Soft on People](#)

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This page provides NC State Faculty Ombuds Office materials, University links, International Ombudsman Association materials, and items to help you deal with issues or conflicts that might arise.

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Be Nice Campaign – Hard on Problems, Soft on People

Welcome to the NC State Faculty Ombuds “Be Nice” campaign!

In a university setting, the exchange of ideas, and being critical of ideas is part and parcel of academic life. For ideas to develop and grow, a robust and productive atmosphere of addressing differences is needed and necessary. Yet when there are differences of opinion, this can sometimes turn to personal attacks. Additionally, we don’t always know when it “really” will pay to be civil, polite, and dare we say “nice” ?

Here’s a story I recently heard from an Army Special Forces Veteran with experience across the globe about his team Sergeant to highlight the importance of being nice.

In the mid 1980’s the Sergeant was serving as a military advisor in El Salvador. This was in the middle of fighting between government forces and FMLN forces. One day the Sergeant was driving down a fairly remote dirt road when he saw a women up ahead walking along the side of the road and carrying a bundle of sticks for firewood.

He slowed his vehicle down because that’s what you do on a dirt road when someone is walking so you don’t stir up the dust. He stopped when he got near the woman and asked if she wanted a ride. She did, got in the vehicle, and they headed up the road. He dropped her off with hardly a word spoken along the way and he quickly forgot about the event.

About 4 months later, the Sergeant is sitting in a restaurant/bar in San Salvador. The spot is know as a “neutral” location where people and military could gather without fear of violence. As the Sergeant sat, a man approached and asked if he could join the table. The man said – “Do you know who I am?” The Sergeant did indeed know as this was one of the rebel commanders that was being sought.

The FMLN commander sat down, looked to the Sergeant and said: “I just want to let you know that you will get out of this country alive . . . and, my mother says thanks for the ride.”

Thus, the “Be Nice Campaign” – Be hard on problems and soft on people. Consider the concept of being “principled” from Roger Fisher and William Ury – Getting to Yes: Negotiating Agreement Without Giving In.

Here’s another way to explore the idea of being nice via collegiality as part of your hiring criteria.

Interviewing to explore collegiality – [Be Nice – Interview Questions](#)

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From the NC State Faculty Ombuds Office
(contact the Faculty Ombuds Roy Baroff for more information)

Be Nice Campaign: Be Hard on Problems and Soft on People

Find the new hire that will **Be Nice** !

The following interview questions are designed to explore the collegiality of potential faculty hires based on material from Robert E. Cipriano, **Facilitating a Collegial Department in Higher Education: Strategies for Success**, Wiley and Sons, 2011.

Cipriano explored this further in "Collegiality as a Fourth Criterion for Personnel Decisions" published in The Department Chair, Vol 25, Issue 4, March 2015.

Here are Cipriano's questions from Facilitating a Collegial Department:
(pp. 37 – 38)(language is quoted)

1. What were your most creative contributions to promoting rapport among your colleagues?

2. Every department has its own "dysfunctionality quotient." In your last position, what were the quirks and how did you deal with them?

3. In what areas do you typically have the least amount of patience in working with your fellow faculty members?

4. If we were to ask your colleagues to describe your strengths and weaknesses in communication with other faculty members, students, and management, what would they say?

5. Tell us about a conflict you had with a colleague in the past that, looking back, you would have handled differently.

6. All of us have core principles, values, or beliefs that we view as nonnegotiable. What issues would cause you to "go to the mat"?

7. Which of the following three factors would play the most significant role in your decision to accept the offer from this institution: (a) the university, (b) the position you are applying for, or (c) the people you would be working with?

Other Topics of Interest?

Dinner Tonight ?!

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



Contact Information

Roy Baroff, MA, JD

NC State Faculty Ombuds

rjbaroff@ncsu.edu

919-935-0922

Raleigh, NC