Faculty Senate Meeting Agenda

Regular Meeting No. 4 of the 64th Session
Faculty Senate Chambers (2320 D.H. Hill Library, West Wing)
All members of the General Faculty are invited to attend
October 17, 2017, at 3:00 p.m. - facultysenate.ncsu.edu

1. **Call to Order** - *Carolyn Bird, Chair of the Faculty*

2. **Introductory remarks**
   a. Guests introduce and invited speakers introduce themselves

3. **Announcements**
   a. Announcements and Committee activity appear on the back of the agenda

4. **Approval of the Minutes, Regular Meeting No. 3 of the 64th Session, September 19, 2017**
   Kimberly Ange-van Heugten, Associate Chair of the Faculty

5. **Provost's Remarks and Q/A**
   Warwick Arden, Executive Vice Chancellor and Provost

6. **Faculty Ombudsman Program: An Update**
   Roy Baroff, Faculty Ombudsman **(see presentation materials at the end of this agenda)**
   Background: The NC State Faculty Ombuds Office (facultyombuds.ncsu.edu) opened in late
   February 2015 with Roy Baroff as the part-time contract ombuds. The office provides issue and
   conflict resolution services that are confidential, independent, informal, and impartial. The
   office published an annual report earlier this year and has additional data to share on its
   operations. The Ombuds Office would like to engage the Faculty Senate in discussion about
   office development and how it can best serve faculty across the university.

7. **Old and New Business**
   a. Elections planning update: The College of Education has identified candidates to fill all
      positions for Committees: Faculty Hearing (603); Non-Reappointment (607) and Grievance
      (604).
   b. Reminder: Refer to your Senator Portfolio prepared by Joni Lancaster to review candidates
      needed to represent your College on Committees: Faculty Hearing (603); Non-
      Reappointment (607) and Grievance (604).
   c. Meeting with OIRP: Jeannette Moore, Joni Lancaster, and I are scheduled to meet with OIRP
      early November to begin review and discussion of Spring elections timeline.

8. **Issues of concern**
   Faculty Issues of Concern can be submitted at any time to a senator or to Faculty_Senate@ncsu.edu.
   Minutes from each Faculty Senate committee (Academic Policy; Governance and Personnel Policy;
   Resources and Environment) are posted so progress on issues/discussions can be monitored by all.

9. **Adjourn**

NORTH CAROLINA STATE UNIVERSITY
Faculty Senate Calendar and Announcements
October 17, 2017

CALENDAR

10/19/2017 3:00 pm Thursday **Executive Committee** in 2320 D.H. Hill – *Carolyn Bird, Chair*

****
10/24/2017 **Committee meetings:**

ACADEMIC POLICY COMMITTEE - *Sarah Ash and David Auerbach, Co-Chairs*
3:00 pm in Room 441, Withers Hall on Tuesday, 10/24/2017.
   a.   University Honors Program and University Scholars Program potential merger.

GOVERNANCE AND PERSONNEL POLICY COMMITTEE – *Philip Sannes and Ron Sederoff, Co-Chairs*
3:00 pm in the Faculty Research Commons Conference Room, 2310 DH Hill Library on Tuesday,
10/24/2017.

   a.   Academic Analytics
   b.   TIAA-CREF Investment Options
   c.   State Health Plan-Board of Trustees revisions effective January 1, 2018
   d.   Annual Performance Evaluation of EHRA Non-Faculty Employees

RESOURCES AND ENVIRONMENT COMMITTEE – *Rajade Berry-James and Beth Fath, Co-Chairs*
3:00 pm in the Faculty Research Commons Conference Room #2313G, 2310 DH Hill Library, on Tuesday,
10/24/2017.
   a.   None.

****
10/31/2017 **Faculty Senate Meeting** at 3:00 pm in 2320 D.H. Hill - *Carolyn Bird, Chair*

ANNOUNCEMENTS
1. **Fall General Faculty Meeting** was held at 3pm on **October 3, 2017**, in Talley Student Center, Blue
   Mountains Ballroom. 95 were in attendance.
2. **Culture of Safety at NCSU.** The Occupational Safety and Health Committee (OSHC) is working under
   the Chancellor's Charge to improve communications about safety and best practices in the
   implementation of a culture of safety. The OSHC desires to foster a campus-wide dialogue to elevate
   practices that have been effective at creating a culture of safety. Points of Contact are: Ken Kretchman,
   Director, Environmental Health and Safety and Marian McCord, Associate Dean, College of Natural
   Resources and Chair, University Occupational Safety and Health Council. All input is welcome with
   particular interest in:
      a. How the faculty member orients and mentors new students and staff regarding safe work
          procedures
      b. Approaches to performing hazard assessments prior to new tasks or experiments
      c. Approaches to ensure persons use the appropriate personal protective equipment
3. **Chancellor's Fall Address.** *Friday, November 3rd at 2:30pm*, in Talley Student Union, Stewart Theater.
Chancellor Randy Woodson. He will address the University's many achievements, speak to its challenges, and
look ahead to its extraordinary future. Light refreshments follow his address. Visit redwhiteweek.ncsu.edu

NC State Faculty & Staff Ombuds Office

Faculty Ombuds

Office Update to

Faculty Senate

Ombuds Office Intro

Case Data

Post Contact Survey

Programs & Professional Activities

October 2017

Roy Baroff, MA, JD

Certified Organizational

Ombudsman Practitioner

NC State Faculty & Staff Ombuds

NC State Ombuds Offices

Faculty Ombuds Office - opened 2/2015
            serving anyone with a faculty appointment

Staff Ombuds pilot program (calendar year 2017)
            - started 1/2017 (SHRA + EHRA non faculty)

Student Ombuds Services - opened 9/2014 with Roger Callanan

            Mike Giancola interim 1/2016 - - - then full time 5/2016

What can the Faculty & Staff Ombuds do for me / my unit / my co-workers / my program / my college / my department?

What is an ombuds?

NC State Faculty & Staff Ombuds Office

International Ombudsman Association Standards

Independent

Confidential

Informal

Impartial

What does a faculty & staff ombuds do?

- Listen

- Strategize and Coach

- Refer

- Facilitate communication and facilitate meetings

- Help generate and consider options - self determination

- Provide safe place to raise concerns / issues / conflicts

- Support from a neutral / impartial perspective

- Surface issues to the University

Examples of Faculty Cases

- SME related concerns

- RPT considerations

- DVF facilitation

- Program Director / staff member communication issues

- Department retreat facilitation

- Department climate concerns

- Colleague considerations

- Compensation issues

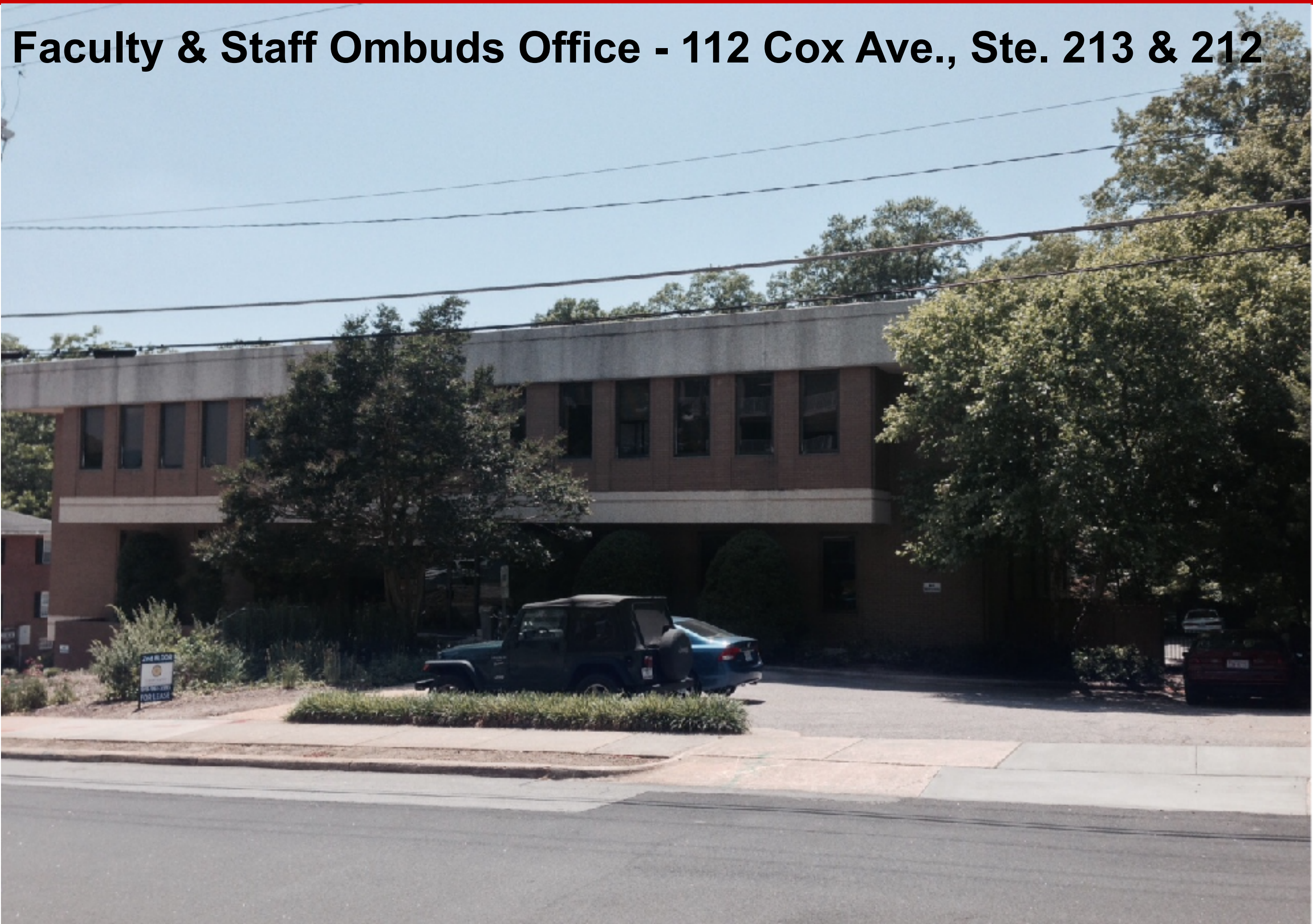# Roy Baroff - your conflict engagement / resolution specialist

NC STATE UNIVERSITY

Faculty & Staff Ombuds Office - 112 Cox Ave., Ste. 213 & 212

Case Data

Cases Opened

Faculty Ombuds Office 12/1/14 - 12/31/15   =   60* / 58 Faculty Cases

Faculty Ombuds Office 1/1/16 - 12/31/16   =   111* / 85 Faculty Cases

Faculty & Staff Ombuds Office 1/1/17 - 10/16/17   =   Faculty 50   Staff 82

* case numbers include staff and student cases that came to the office before the Staff Ombuds Office pilot phase

Collected Case Information

Covering -

1/1/15 - 10/4/17   **189* cases (faculty ombuds data)**

includes 46 of 50 faculty cases from 2017
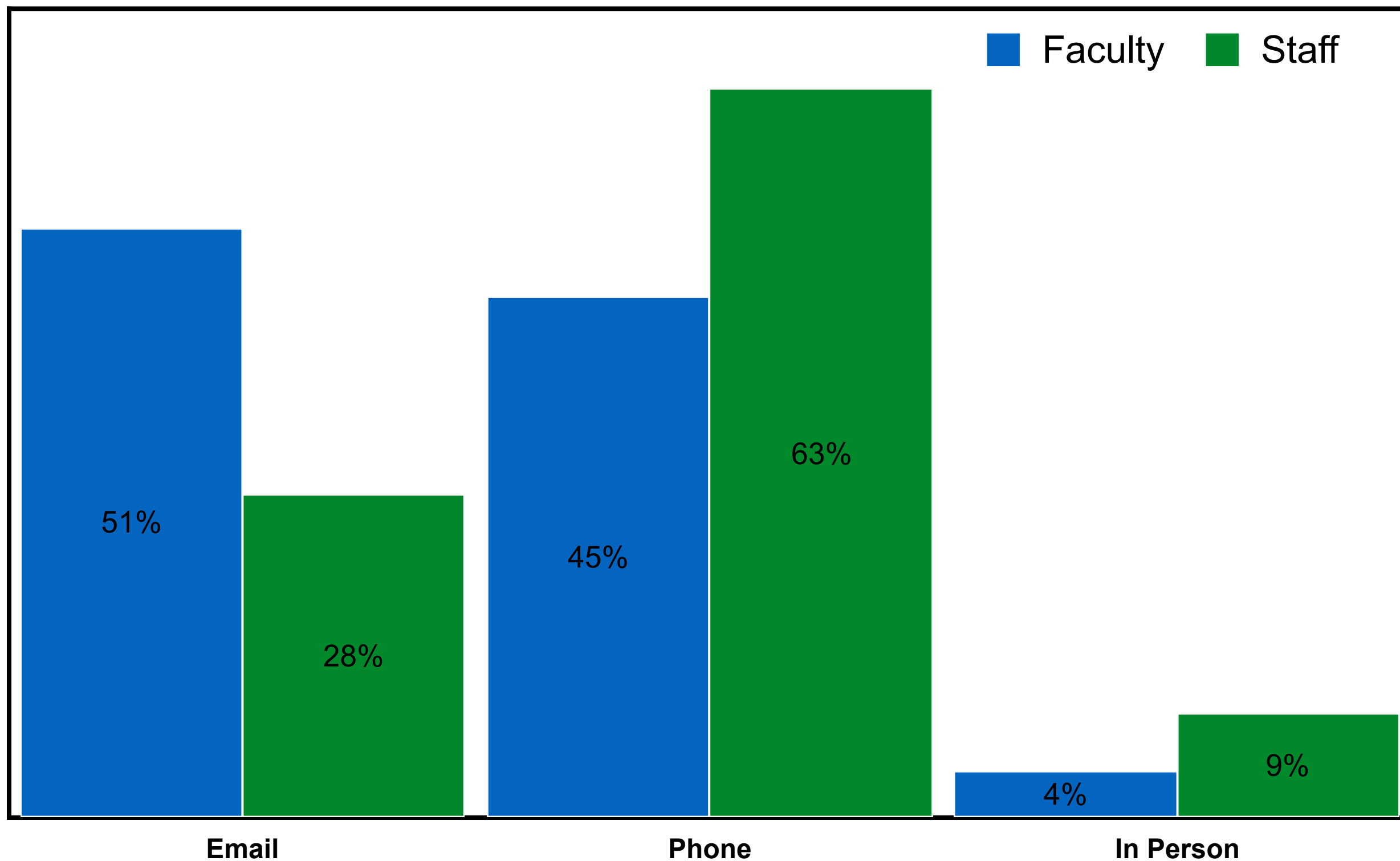
1/1/17 - 8/28/17   **65^ cases (staff ombuds data)**
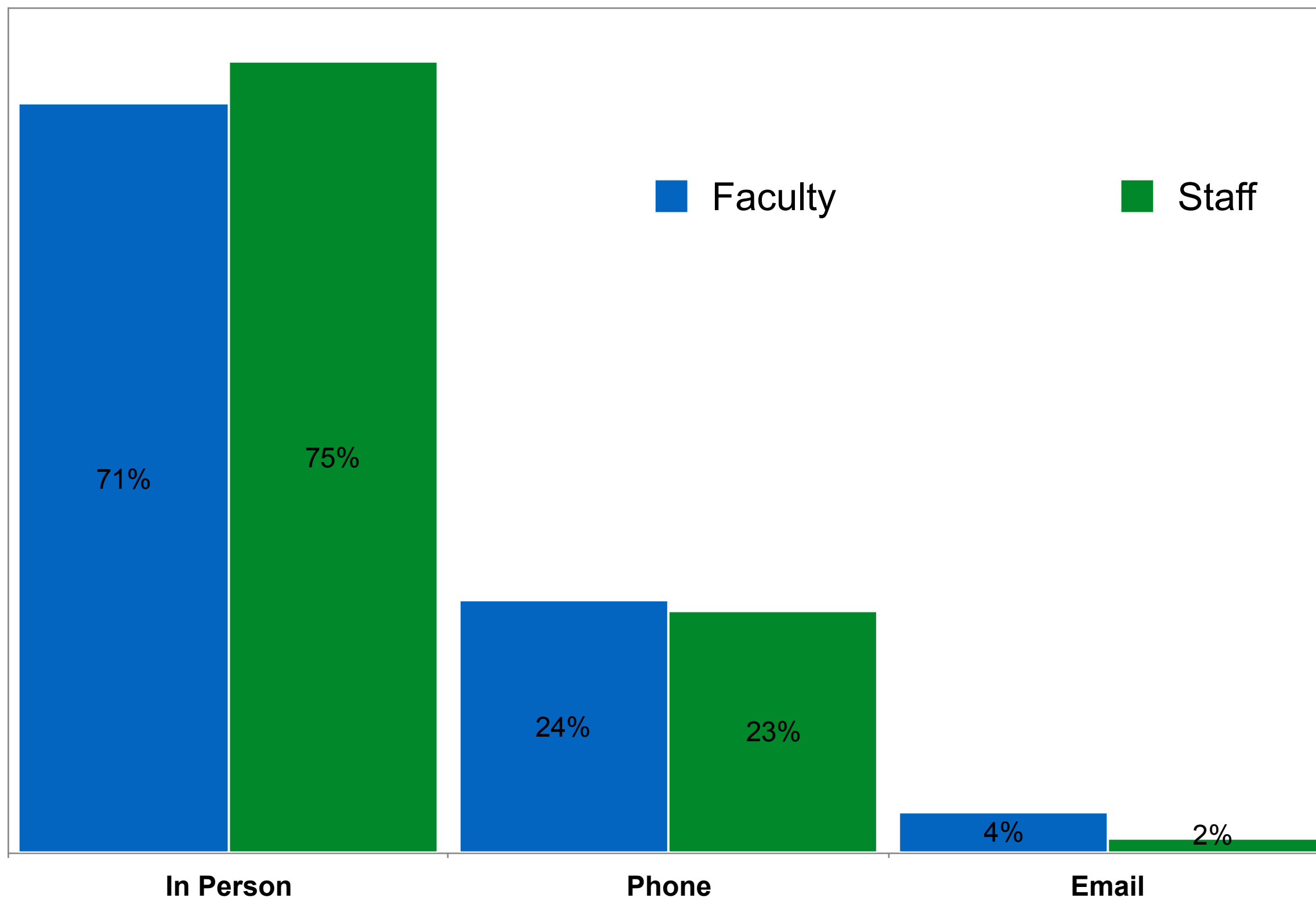
^ 5 cases pending
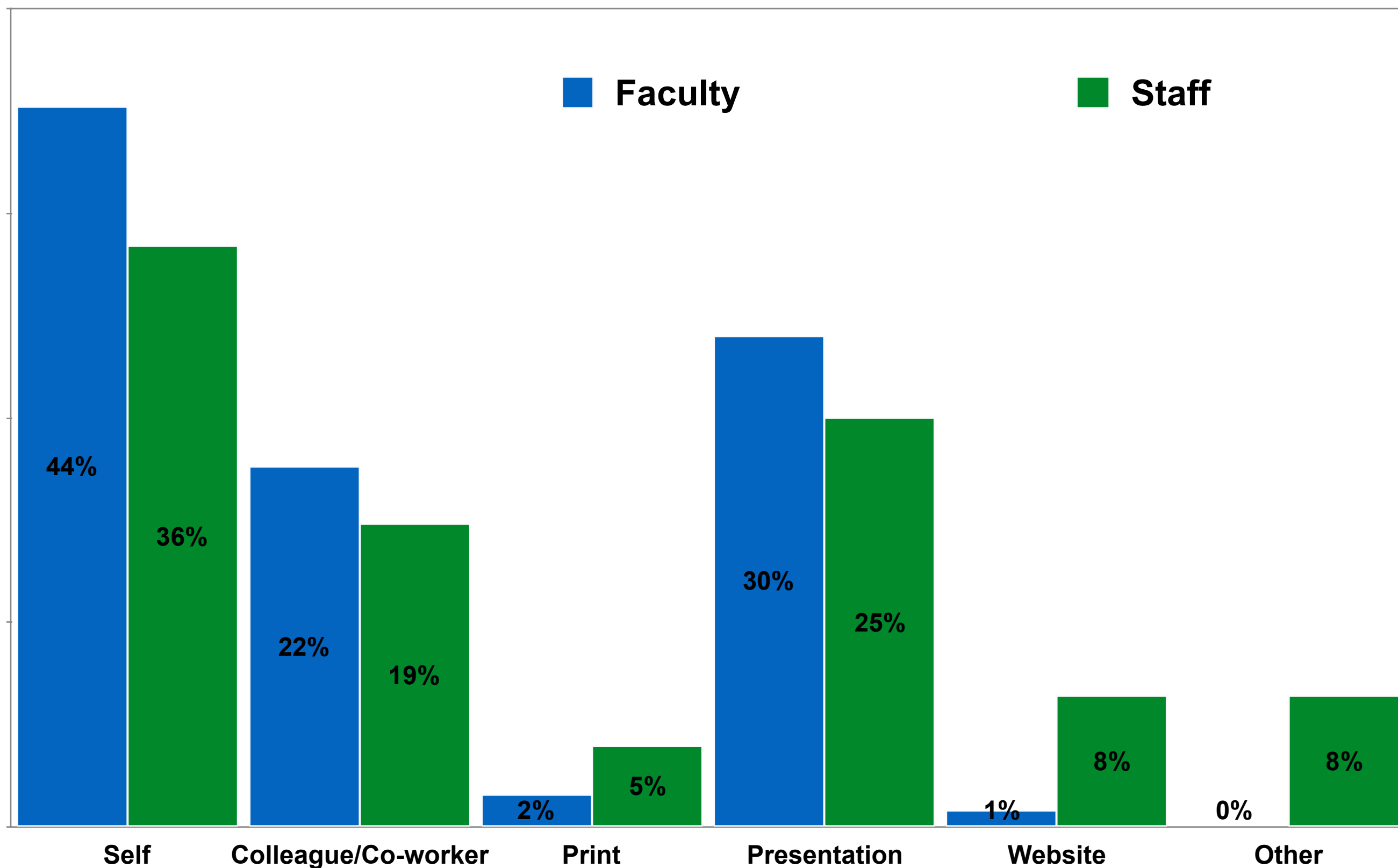
Case Categories

INTERNATIONAL OMBUDSMAN ASSOCIATION
Uniform Reporting Categories

**VERSION 2
October 2007**

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.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)
....
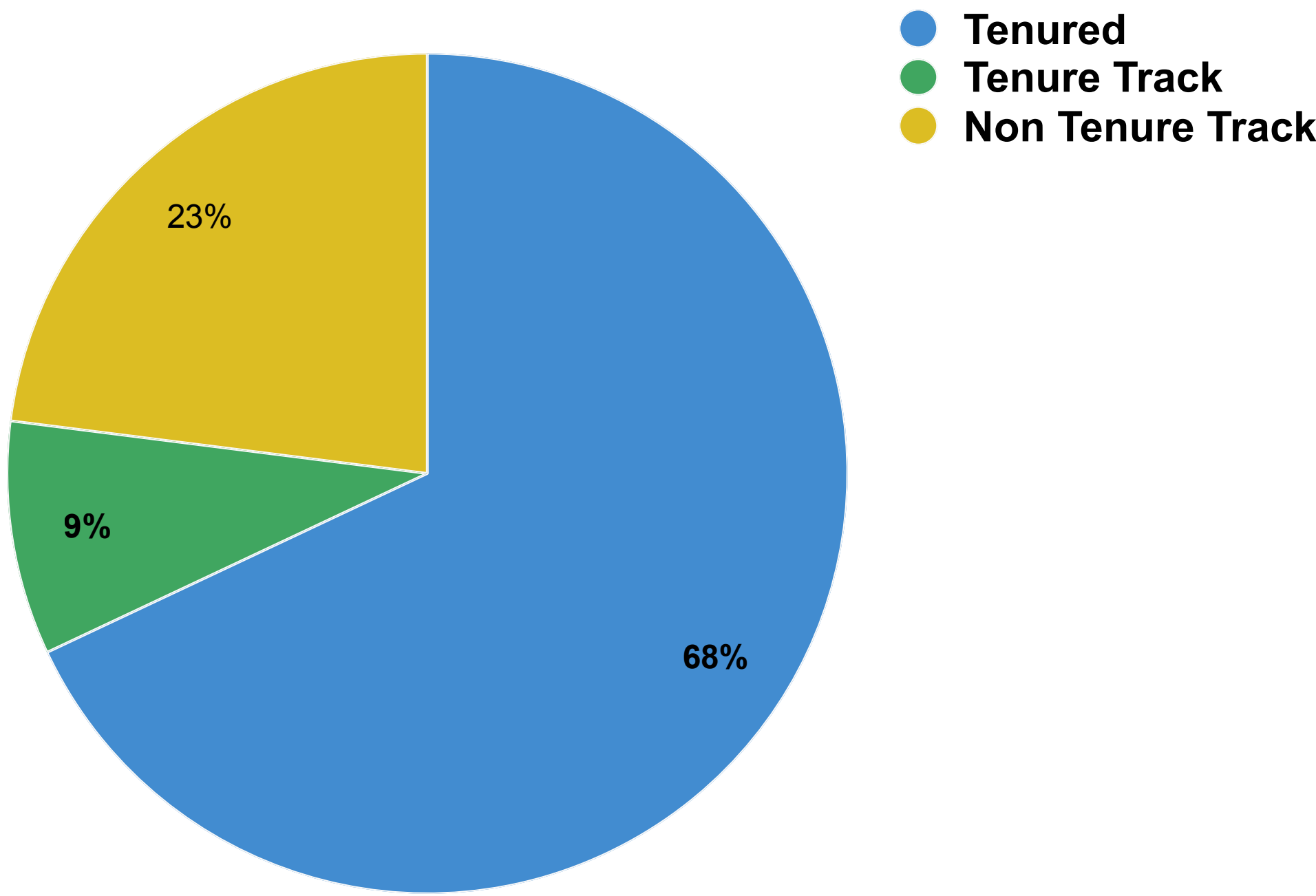..
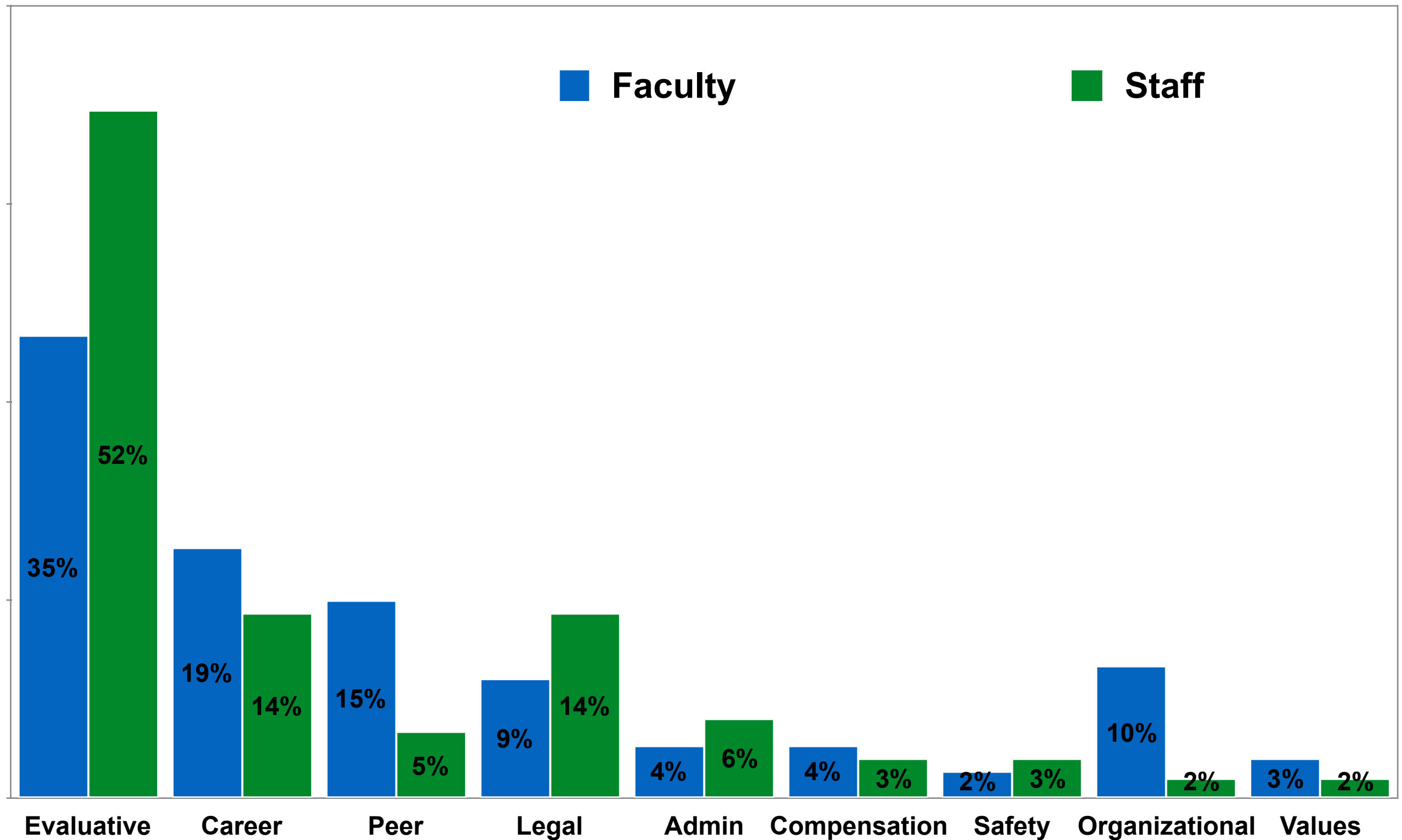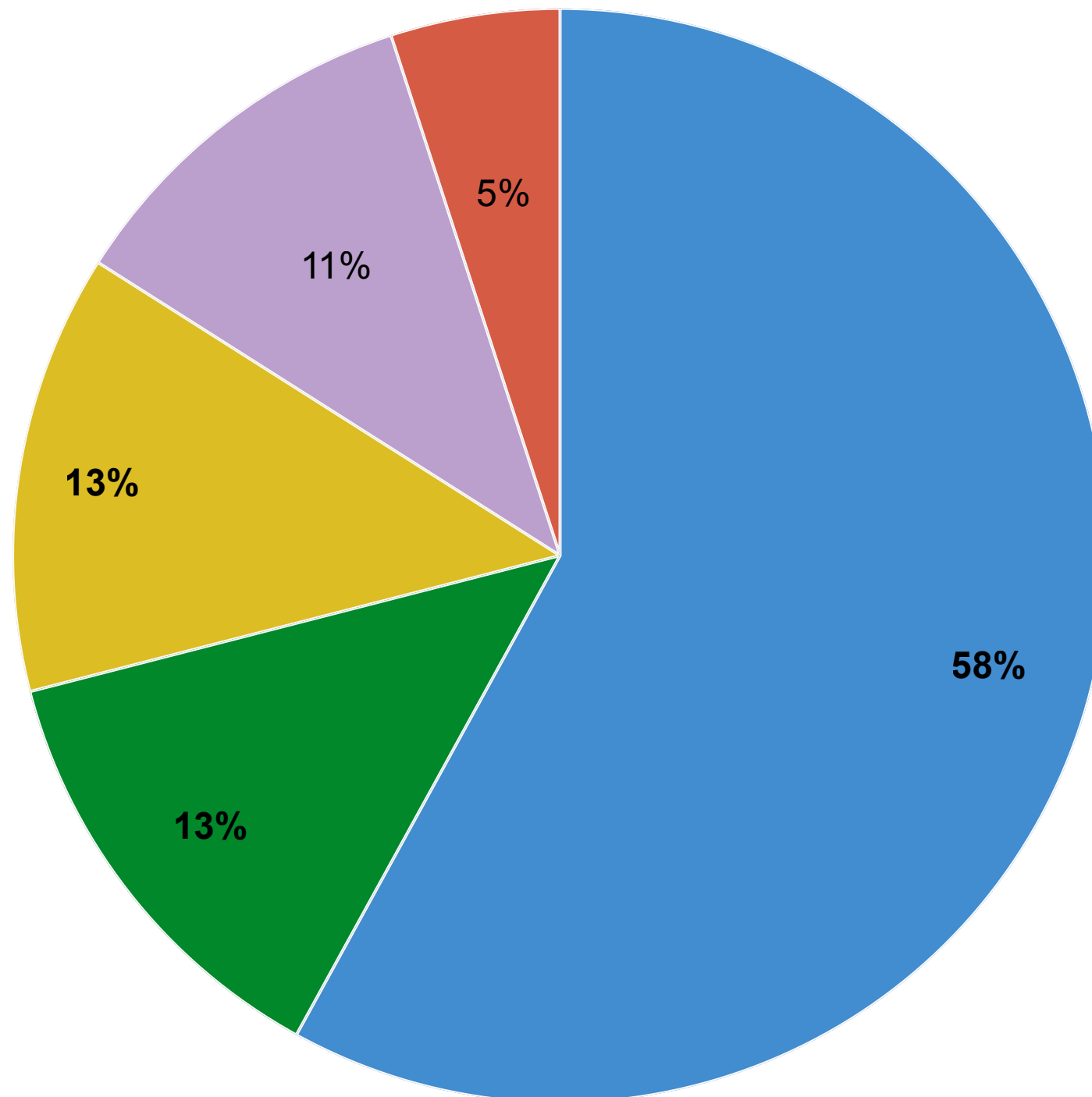
Faculty Ombuds Office faculty member visitor information

University data from Human Resources System (10/12/17) and includes all Faculty = 2664

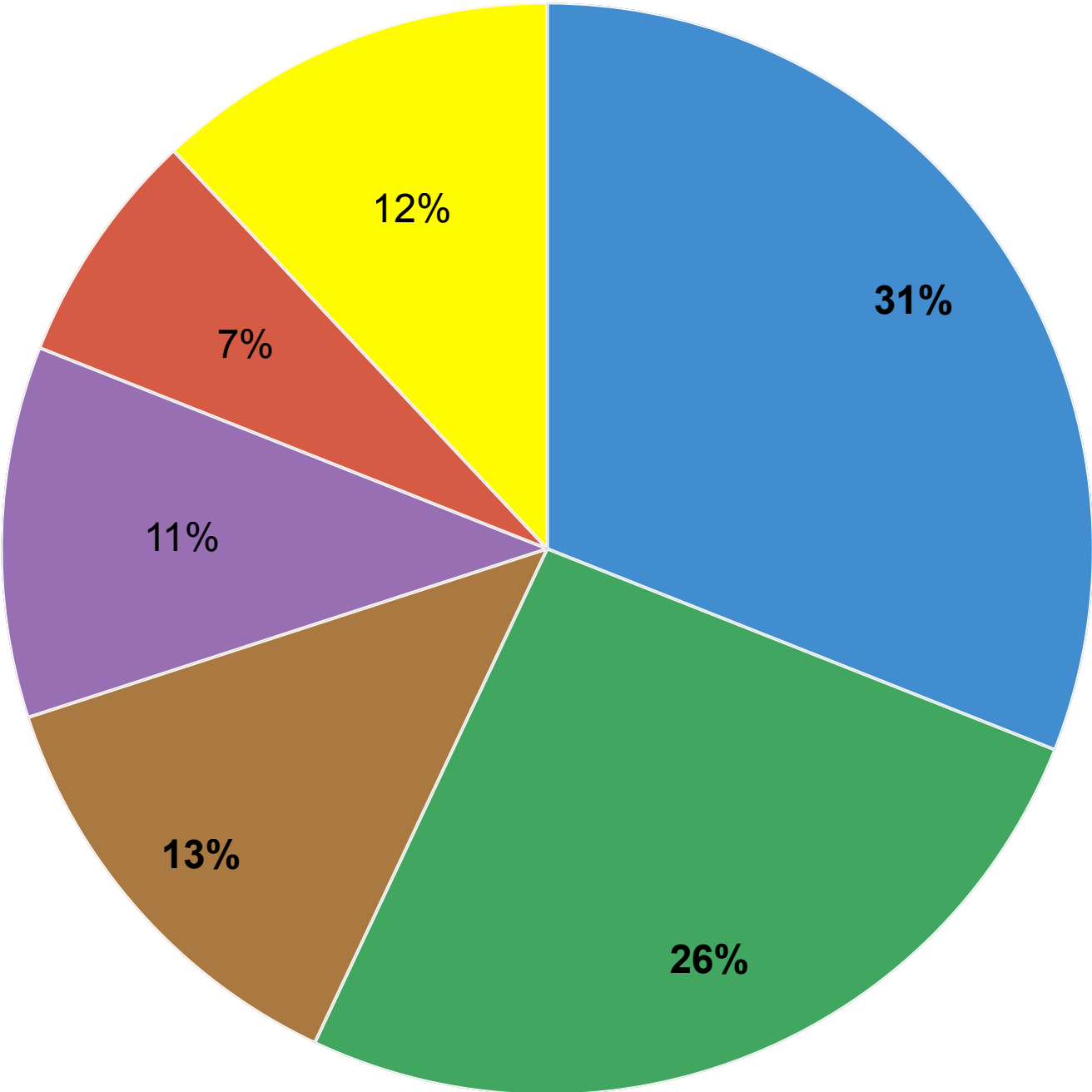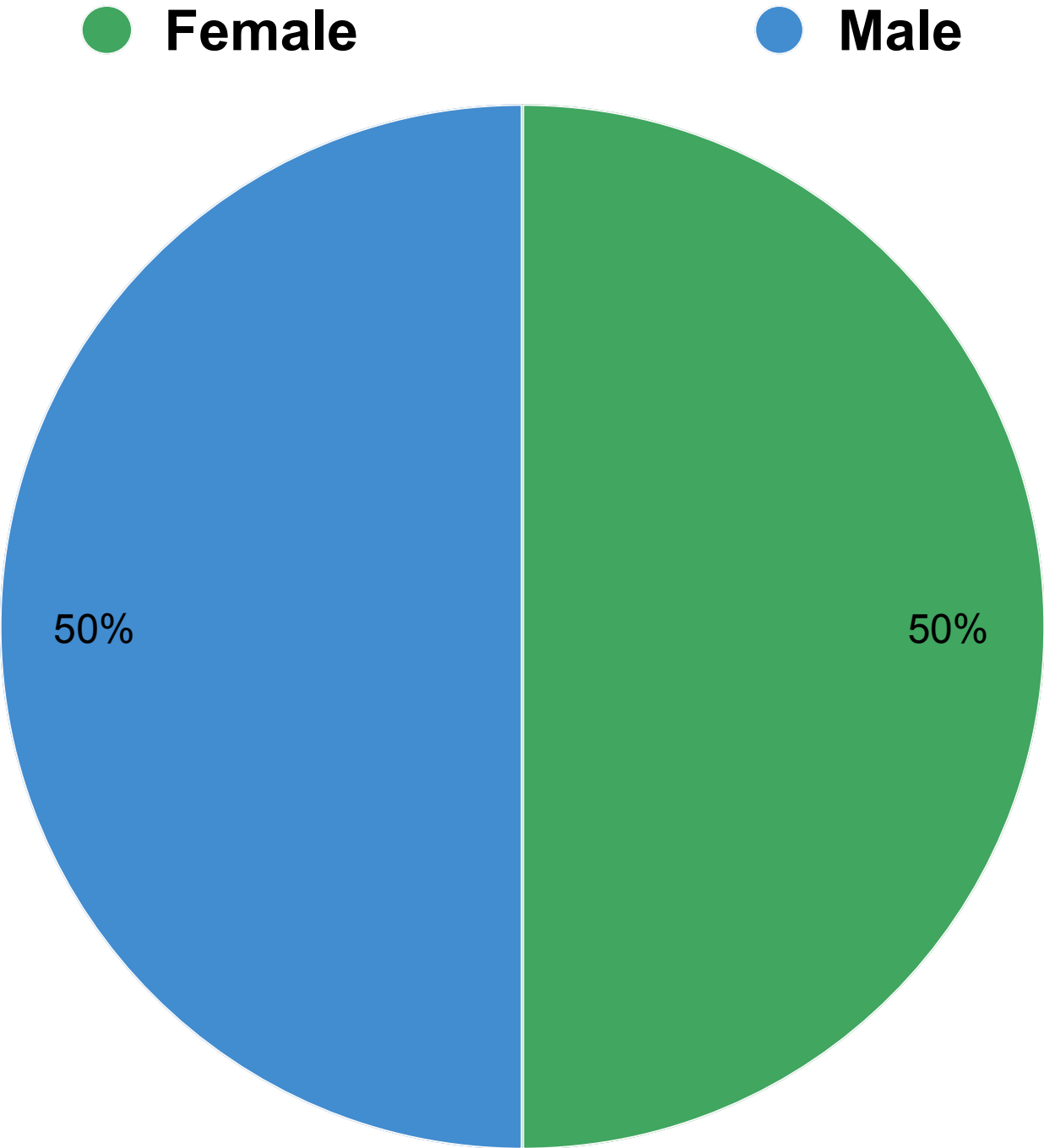Faculty Member Visitor Status

Tenured
Tenure Track
Non Tenure Track

68%
9%
23%

University wide - Tenured 45.5%   Tenure Track 12.5%   Non Tenure Track 42%

Faculty Member Visitor Demographics

Legend:
- Black / African American (yellow)
- Multicultural (cyan)
- Hispanic (dark yellow/gold)
- Asian/Pacific Islander (green)
- White (tan/orange)

Pie chart values: 5%, 1%, 4%, 2%, 88%
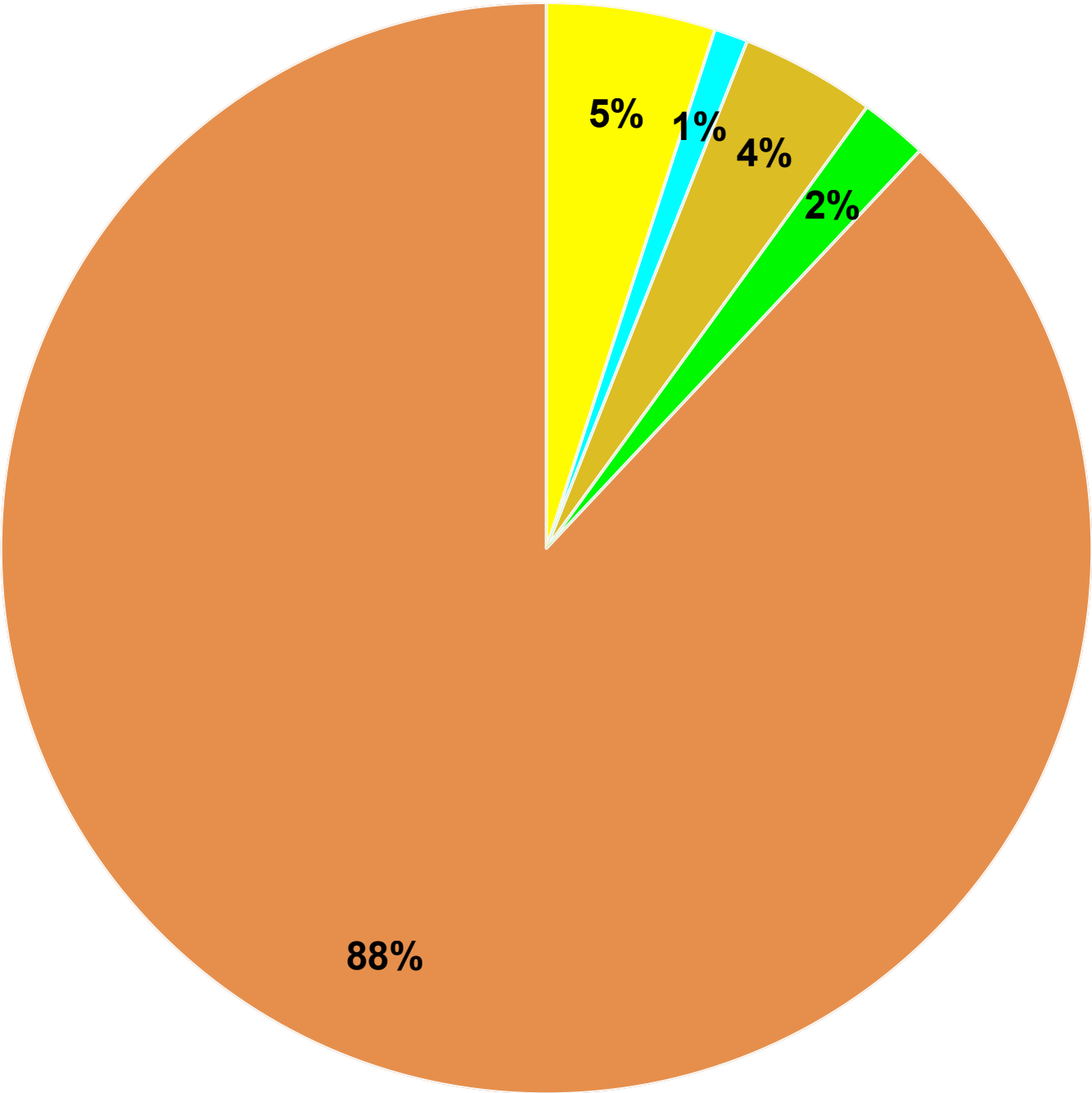
University wide - Black/African American 5% Asian/Pacific Islander 9.5%
Hispanic/Latino 3% White 80% Multicultural 2.5%

Length of Service in Years
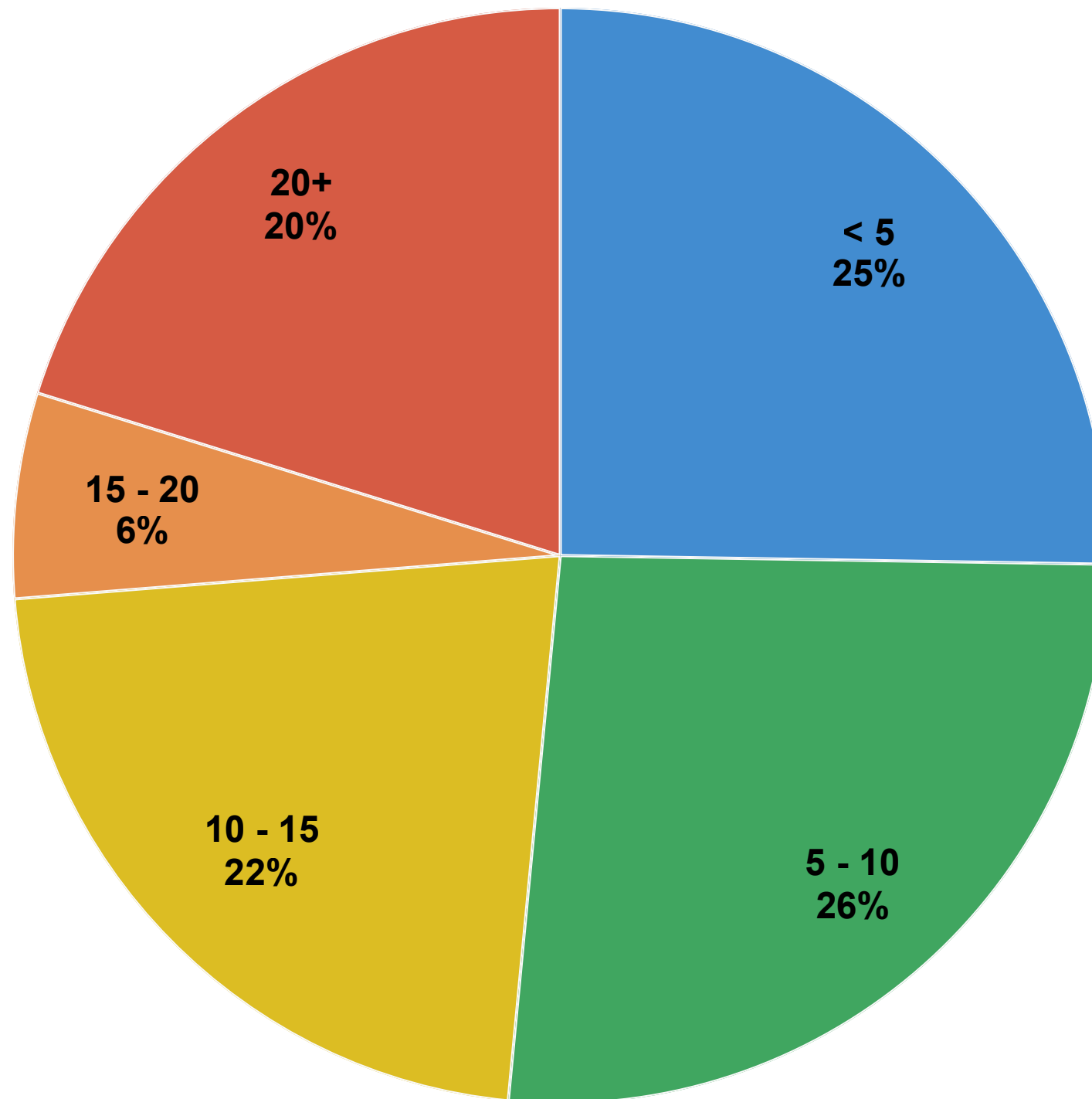
Packapalooza - Go Pack!

Faculty & Staff Ombuds - Roy Baroff and
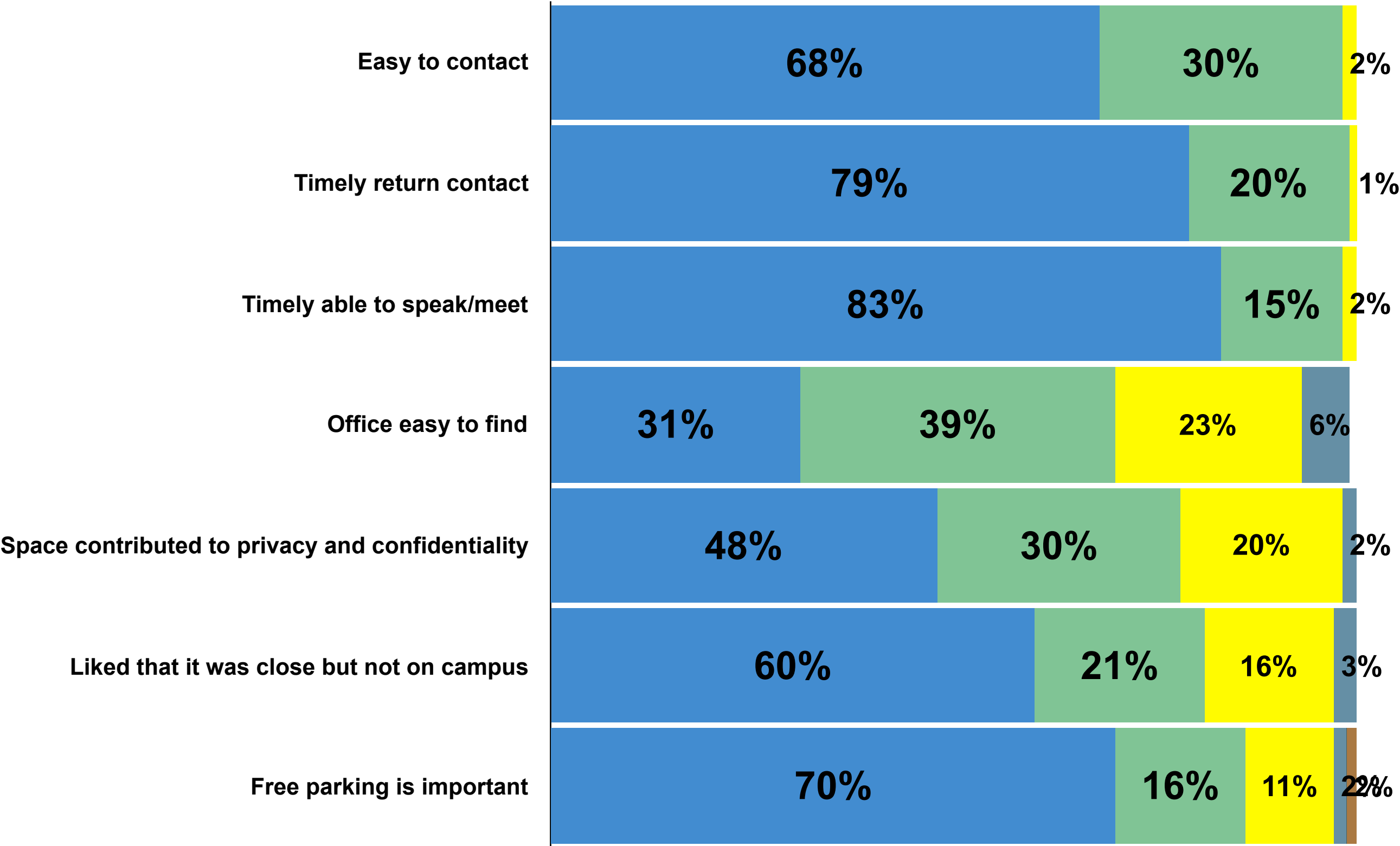Cathi Phillips Dunnagan - Staff Senate Chair

Post Contact Survey Data

- Survey population from 2/1/15 - 12/31/16

- 129 individuals with valid contact information
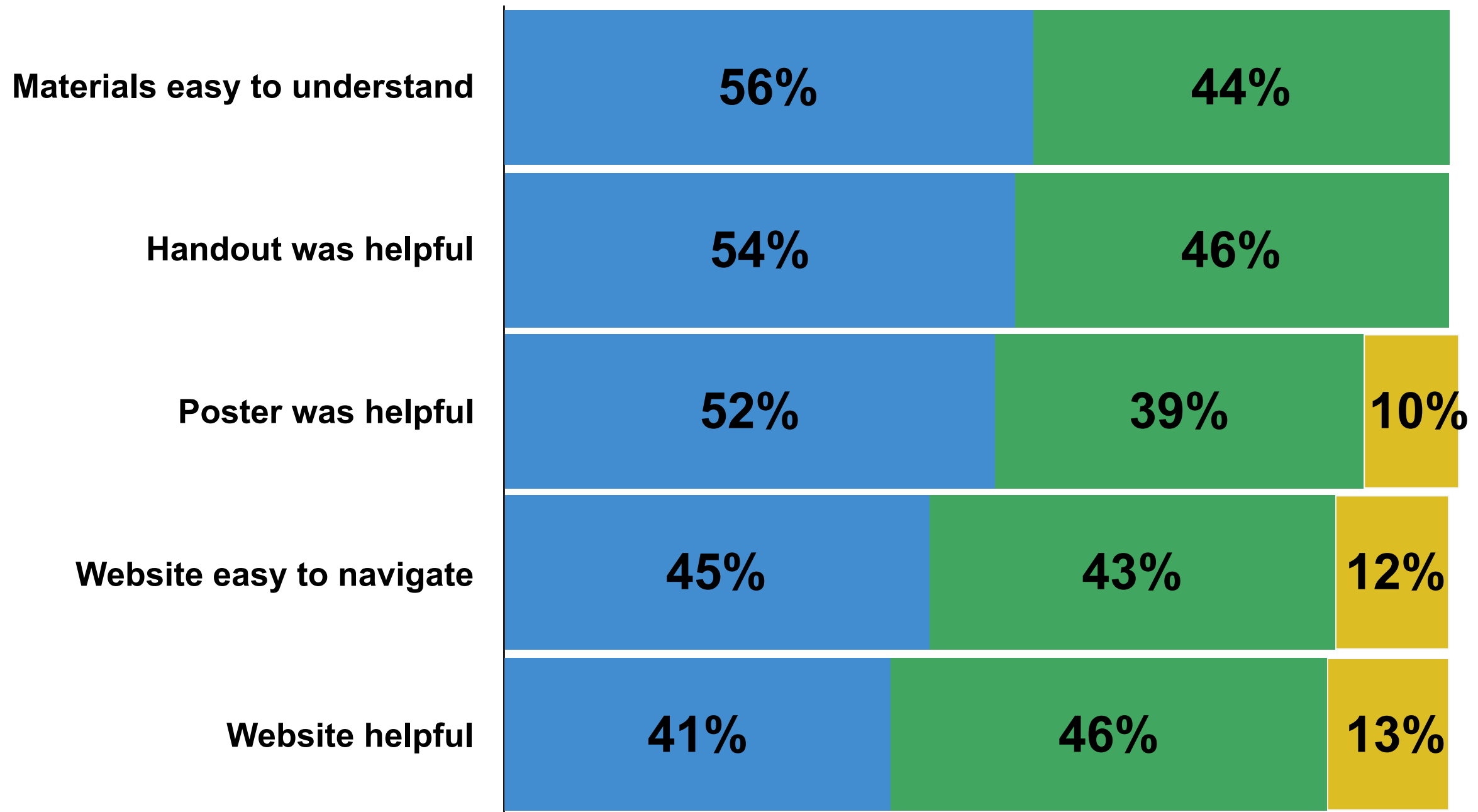
-   71 completed / partial = 55%

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

- Not brought the issue up as quickly — 7
- Not Done Anything — 6
- Other — 10
- Struggled on my own with the issue/concern — 25
- Contacted other university resources — 25
- Left the university — 7
- Consulted w/private counsel about filing a lawsuit — 7
- Filed a grievance — 7
- Not talked to anyone about the issue — 5
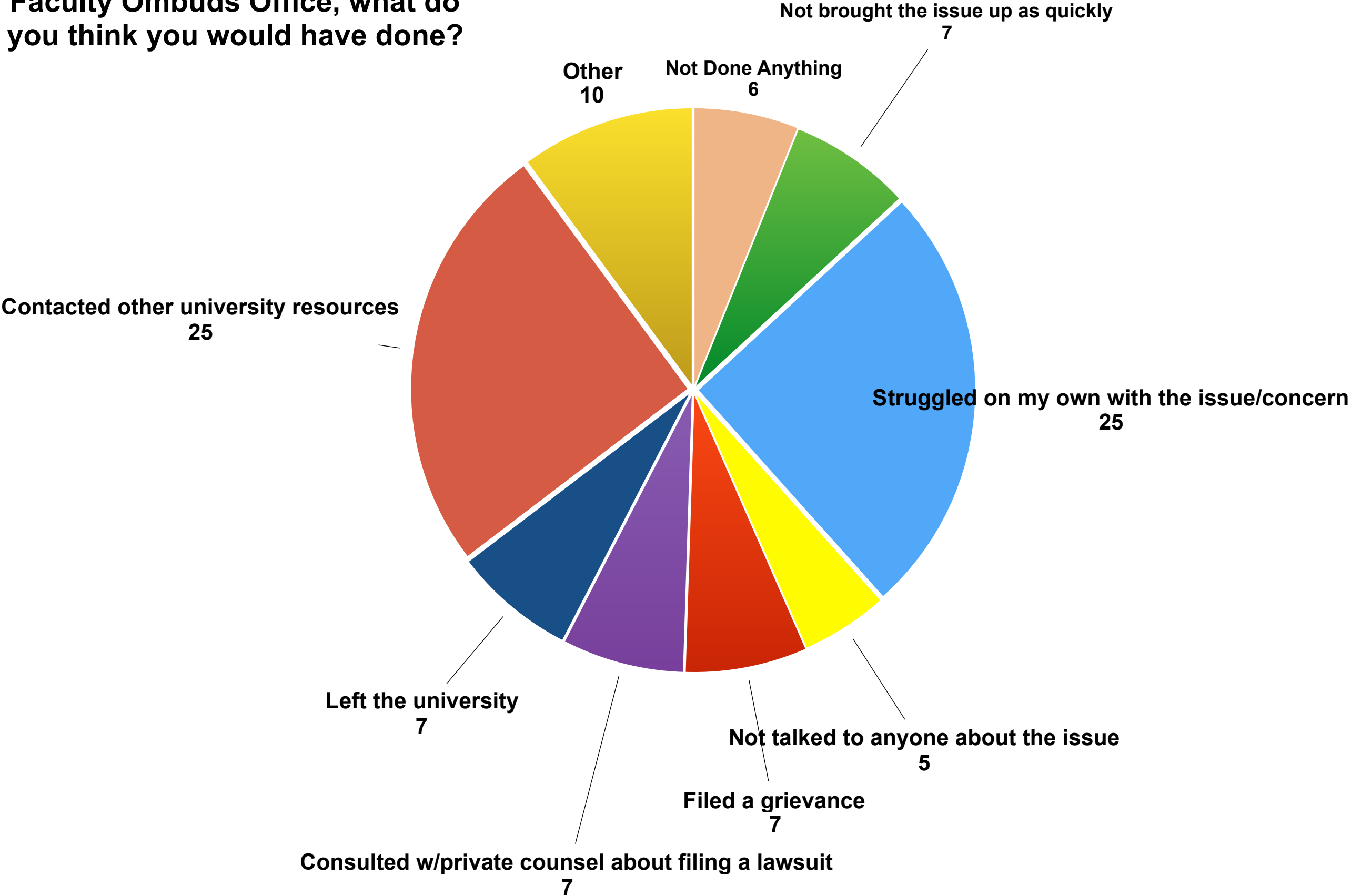
Faculty Ombuds Office Projects/Programs

- Be Nice Campaign
    - hard on problems and soft on people

- University transition stories
    - collecting best practices

Representing NC State in Ombuds Related Professional Activities

- International Ombudsman Association Annual Conference
  Session presentation - 2016, 2017, submitted for 2018

- Certified Organizational Ombudsman Practitioner
  Completed application, exam, interview

- American Bar Association Dispute Resolution Section
  Ombuds Committee and Legislative Subcommittee Chair

- Ombuds Perceptions Survey
  Participated in pilot survey from led by University of
  Nebraska at Omaha Professor & Ombuds in Communications Dept

Contact

NC State Faculty & Staff Ombuds Office

Roy Baroff, MA, JD

Certified Organizational Ombudsman Practitioner

112 Cox Ave., Ste. 213 and Ste. 212

facultyombuds.ncsu.edu

staffombuds.ncsu.edu

rjbaroff@ncsu.edu

rjb@roybaroff.com

919-935-0922

NC STATE UNIVERSITY

Faulty & Staff Ombuds Office   Issue and conflict resolution services

Roy Baroff - MA, JD - Faculty & Staff Ombuds
Certified Organizational Ombudsman Practitioner®

How Can the NC State Faculty & Staff Ombuds Office help you?

The NC State Faculty & Staff Ombuds Office is designed to help individuals, groups, and the university engage with and solve problems. The office is independent, confidential (limited exceptions include with permission, risk of harm to oneself or others, or by law), informal, and impartial in its work. It serves anyone with a faculty appointment and all SHRA and EHRA non-faculty employees.

You can bring issues to the office and, together with the ombuds, the goal will be to generate options to help you informally resolve your situation. The ombuds can be a sounding board to help you consider strategies and serve as a negotiation coach for your endeavors. The ombuds can serve as a neutral facilitator to help you have a difficult conversation or for your group. And, the ombuds can also surface issues to the university while protecting the confidentiality of the source. The ombuds supports individuals and the university by remaining neutral in all matters and does not serve as a representative or advocate for any person or the university.

The office is part of NC State's conflict resolution efforts and works both separately and connected to existing services. An ombuds office fills the gap between formal and informal services with unique characteristics. (See Comparison Chart) Check out the following Case Examples and consider - How can the NC State Faculty & Staff Ombuds help you!

Faculty Focused Case Examples

1. Joint Faculty/Staff 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 provided conflict resolution training sessions to support process redesign.

2. Department Head sought assistance with internal faculty issues of concern. Ombuds set up process that included individual faculty member meetings, summary of issues shared faculty wide, department wide follow-up survey, and ongoing facilitation with small working group to address cultural/climate issues.

3. Ombuds facilitated discussion to build better communications between program director and faculty member who interacted due to work in the same subject matter.

4. Ombuds contacted senior leader about issues in a program under their direction and, with visitor permission, shared concerns raised by visitors to the ombuds office, reviewed materials, and engaged in discussions to serve as sounding board for leader.

5. At Department Head request, helped plan and facilitate a departmental retreat to consider future curricular and hiring needs.

6. Ombuds office provided faculty leader and faculty member confidential meeting space to discuss departmental issues.

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. Determined that confidentiality explanation of DVF balloting may need additional clarification and passed issue to leadership for review.

9. Ombuds facilitated informal DVF meeting and tenured faculty member considering going up for promotion to share perspectives, create alignment, and discuss timing.

10. Faculty member with adult diagnosis of mental health condition was concerned about impact on job and was considering disability filing. Faculty member wanted information without alerting Department or HR to situation. Faculty Ombuds made confidential contact with HR to determine how filing for disability worked and provided faculty member with information in order to determine next steps.

11. At the request of Department Head, the faculty ombuds facilitated multiple department subject area meetings designed to asses current group status and future needs as part of a department wide effort.

12. Faculty member wanted to discuss SME. Provided information from Office of Faculty Development articulating the interplay between SME, Department, and College standards. Helped faculty member clarify concerns, consider options, and make referral for assistance.

Contact: 919-935-0922   Meetings by appointment only

Email: rjbaroff@ncsu.edu (All electronic mail messages in connection with NC State business that are sent to or received by this account are subject to NC Public Records Law, are retained, and may be disclosed to third parties.)

Other means of contact: 919-542-2575   -   rjb@roybaroff.com

Location: 112 Cox Ave., Ste. 213, Raleigh (parking available)

Comparison Chart

How does an organizational ombuds fit within the institution it serves? Ombuds are designated neutral, operate outside normal management channels, are a complimentary service, and can be a safety net for the organization. According to Randy Williams, former Global Ombuds for American Express, and Sara Thacker, Staff Ombuds for UC Berkeley, an ombuds office fills the gap between formal and informal services. Here's a "Comparison Chart" developed by the authors in summary form. **Organizational Ombuds: Filling the Gap in Effective Dispute Resolution Systems -** published in American Bar Association Just Resolutions Newsletter, February 2015.

Roles & Responsibilities	Formal Services	Ombuds
Designated as a neutral	NO	YES
Independent - out of ordinary management structures	NO	YES
Informal entity reporting to top of organization	NO	YES
Makes management decisions; sets and enforces policies, practices, and rules	YES	NO
Provides a channel to place the organization on notice of claims against it	YES	NO
Maintains business records for the organization	YES	NO
Provides internal and external compliance reports for the organization	YES	NO
Accepts anonymous calls; provides anonymity	LIMITED	YES
Proactive change catalyst to help prevent problems	YES	YES
Provides data from a neutral viewpoint to top management	LIMITED	YES
Provides a channel to seek confidential guidance based on terms and conditions of the ombuds program and, where appropriate, on assertion of privilege	NO	YES
Provides off-the-record coaching for options to resolve problems and guidance to get information from the most appropriate channel in a timely manner	NO	YES
Allows users to maintain control and determine resolution options (except for situations with an imminent risk of serious harm or information of abuse and neglect)	NO	YES
Provides guidance and options for all types of work related issues	NO	YES