

Ombudsman Operations: Evaluation Planning and Basics

ICANN, Marina Del Rey

February 2009

About your presenters

- Frank Fowlie
- ICANN's 1st Ombudsman
 - November 2004
- Varied career
- Wrote doctoral dissertation on Ombudsman evaluation
- John Zinsser
 - Principal - Pacifica Human Communications
 - MA - 1st MACRA Grad
 - Consultant & Researcher



Your Expectations:

- The Gain a greater understanding of Ombudsmanship and **systems design**.
- To discuss effective performance measurements How to **effectively survey** our client base (especially complainants - when their expectations differ from our legislative authority)
How to interpret survey results
- In conjunction with a course that I am currently enrolled in, I would enjoy learning more about **what an Ombuds is and does**, as well as learning about the global market for services of this kind.

Your expectations:

- The Ombudsman's work is unique in nature. The Ombudsman is possessed with certain characteristics above all those under his/her jurisdiction. But at the same time, the Ombudsman has to balance this in terms of effectiveness, productivity and efficiency etc. I expect from the assessment course to give some answers on how one can assess and measure the Ombudsman's work. Whether it is useful to have one in the absence of any assessment tools? Should the office remain complaint driven? As a public office, **accountability of the office is necessary.**

Your expectations:

- A primer on the roles and responsibilities of Ombudsmen. Networking and possible employment / consulting opportunities. Ability to **develop new means for evaluating** the effectiveness of systems.
- that the time together **will provide groundwork** for the future
- To obtain **more practical knowledge**. Learn from experienced professionals in the field of dispute system design.
- **Learn best practices** for assessing the effectiveness of Ombudsman's Office.

What you think is critical:

- How to **best assess** a dispute resolution system
- to effectively **survey** complainants
- To **upskill** myself and impart the knowledge gained to others in the office
- How to complete my work for your company in a **satisfactory** manner
- **Assessing** a system with information that is often **subjective, personal and often confidential.**
- **metrics** that others use successfully
- Theory **transforms** into practice
- Providing upward **feedback**

To Start

- What is the purpose of your Office of the Ombudsman?
 - Is this what you, your Organization, or chartering institution wants?
 - How do you know that?
- Are you strategically tuned to deliver that?
 - How do you know?
 - Has anyone helped you check?
- What value does your Office of the Ombudsman create and deliver?

What we will cover:

- Evaluation basic terminology;
- Review of the ICANN Ombudsman model;
- Review 6 reasons to evaluate;
- Value statements;
- Create an RMAF;
- Valuing the Ombudsman in \$\$
- Self assessment; external assessment; third party reviews; surveys; and out reporting

Lexicon

Measurement

1. The act of measuring or the process of being measured.
2. A system of measuring: measurement in miles.
3. The dimension, quantity, or capacity determined by measuring: the measurements of a room.

(dictionary.com)

For our purposes:

Activities, undertaken PRIMARILY by the Ombudsman, to determine what outputs and outcomes occur or not, and what satisfaction results from these activities.

Lexicon

Evaluation

1. Act of ascertaining or fixing the value or worth of
2. An appraisal of the value of something
[synonym: valuation, rating]
3. Converting an expression into a value using some reduction strategy.

(dictionary.com)

For our purposes:

Efforts to determine the economic and/or humanistic value of Ombudsman activities and the outcomes of these activities. Can be determined by the Ombudsman with input from the organization and external experts. Greater validity when generated by others.

Lexicon

Effectiveness

1. a. Having an intended or expected effect.
b. Producing a strong impression or response;
striking: an effective performance
2. Capable of producing a desired effect:
an effective reprimand; an effectual complaint;
an efficacious remedy. *(dictionary.com)*

For our purposes:

The alignment among Ombudsman activities, these activities' outcomes, and the intended effects desired by an informed and well-meaning host organization. Generally determined by the organization in concert with the Ombudsman or other experts.

Lexicon

Assessment

1. The classification of someone or something with respect to its worth [synonym: appraisal]
2. The market value set on assets
3. The act of judging or assessing a person or situation or event [synonym: judgment]

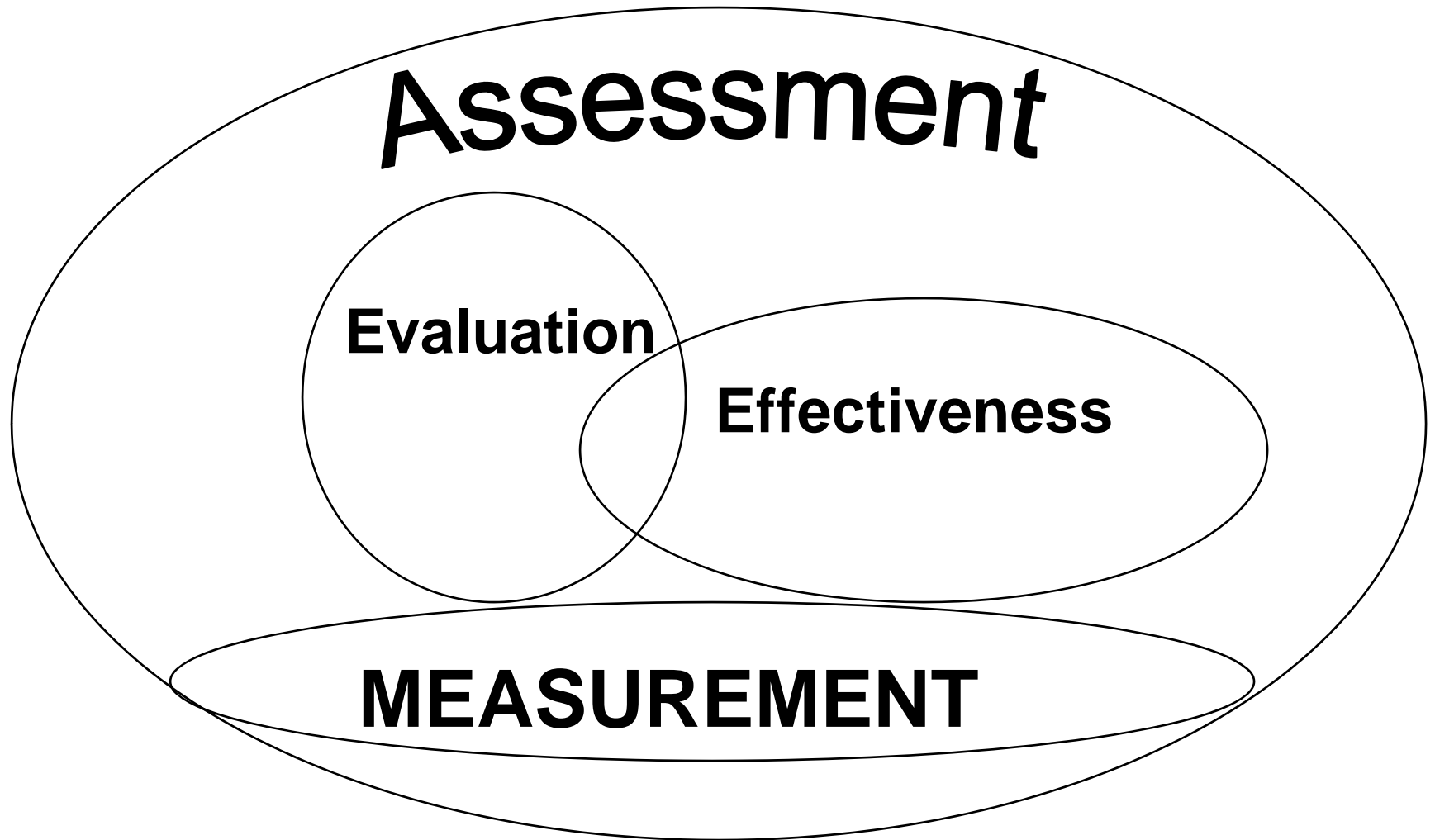
(dictionary.com)

For our purposes:

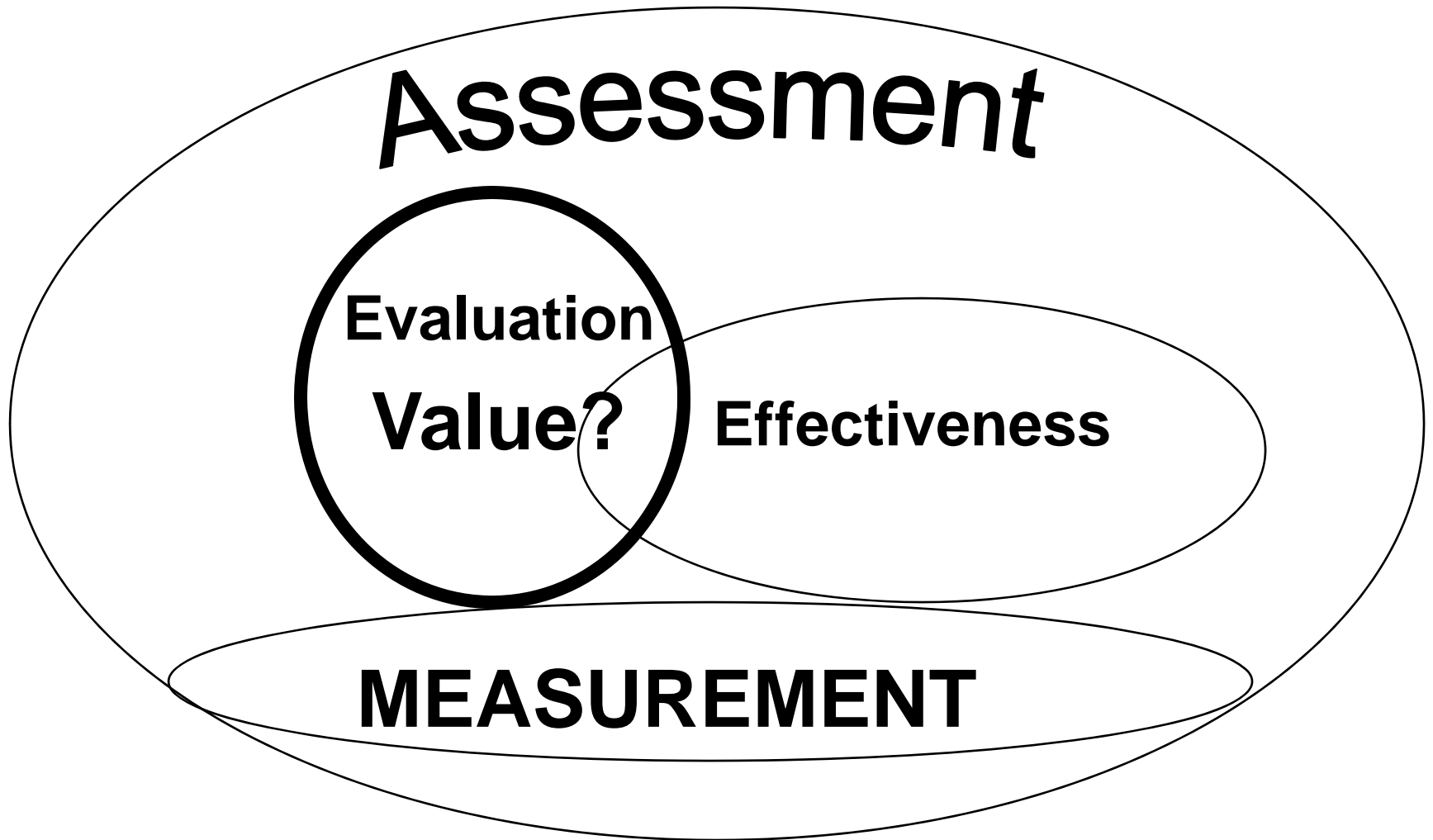
The entire set of activities undertaken to understand an Office of the Ombudsman's activities, outputs and the value of these, i.e. a set of sets.

Likely done by others, with the Ombudsman's support.

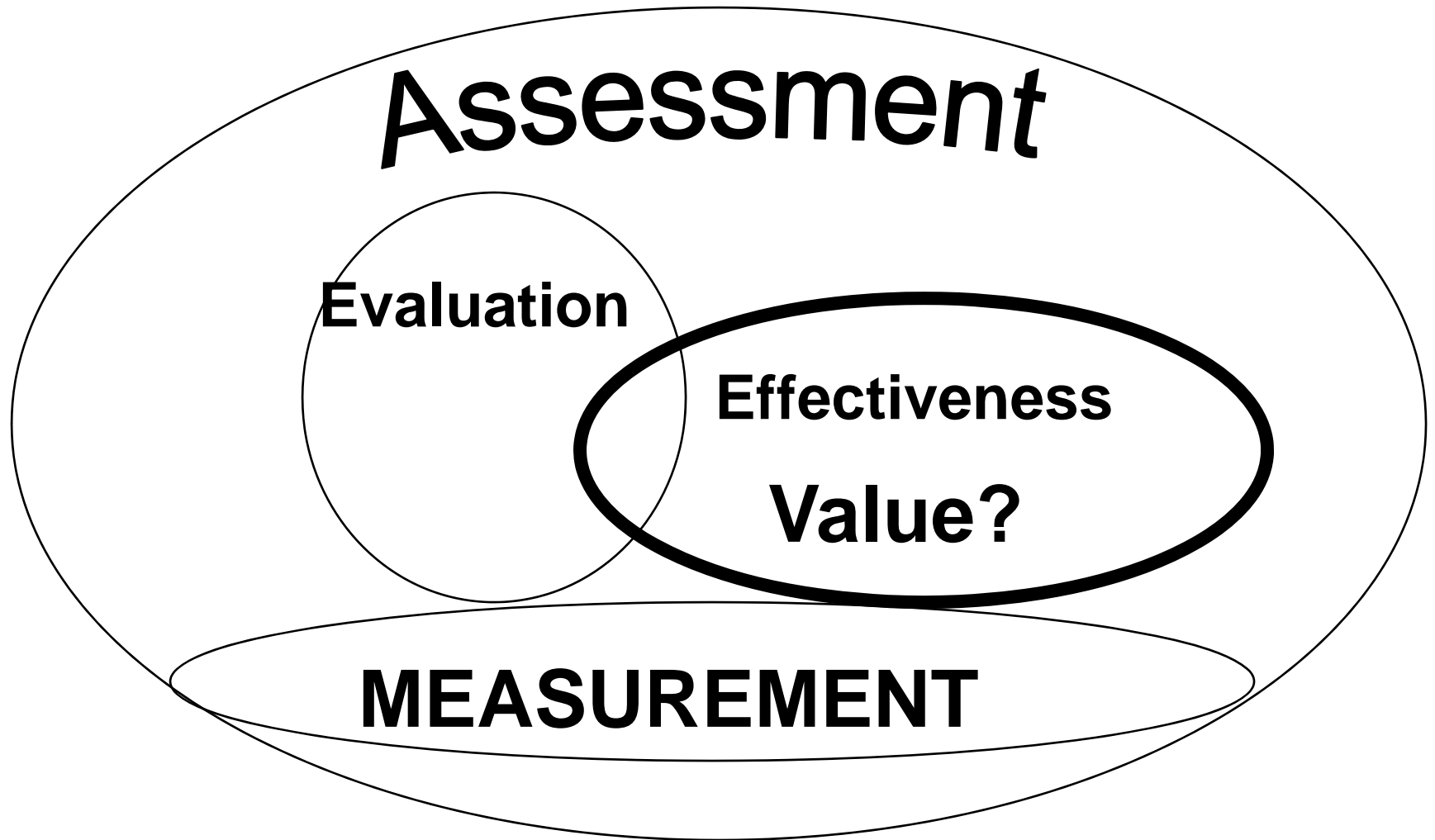
“Value locator” Model



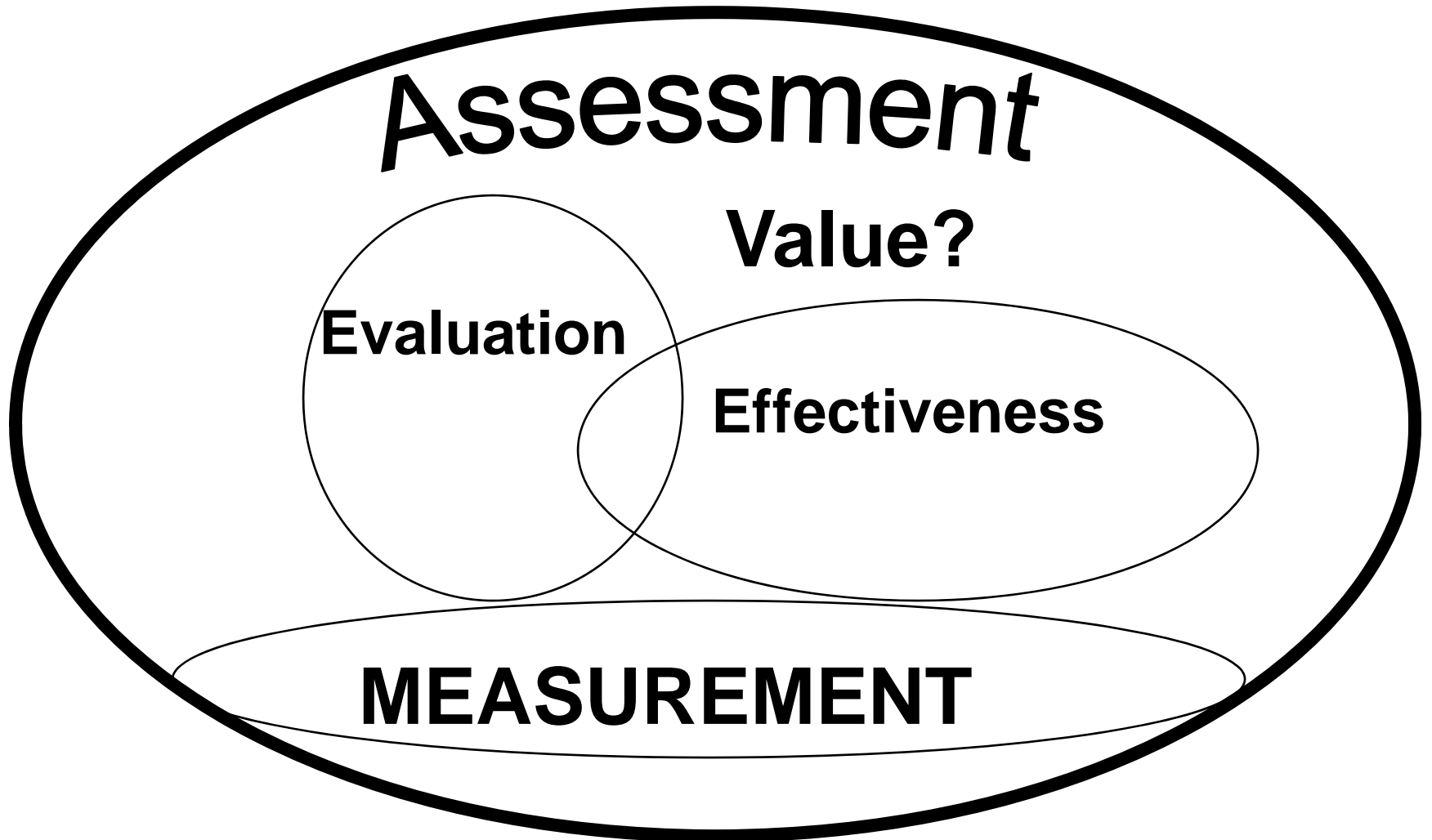
“Value locator” Model



“Value locator” Model



“Value Locator” Model



This session is about:

- Using planning tools to assist Ombudsman offices to:
 - Create methodologies to evaluate operations and effectiveness
 - Demonstrate value

What we are going to do:

- evaluation planning, using the tools, reporting out
- Materials for participants:
 - slides, evaluation guide, logic model blanks
- Bovine Scatology testing aka

EVALUATION PLANNING FOR OMBUDSMAN OFFICES

ICANN AND ITS OMBUDSMAN

About ICANN

- Internet Corporation for Assigned Names and Numbers
- Administers the Domain Name System DNS
- .com. Net. .org etc (Top Level domains)
- .mobi asia .travel etc (sponsored TLD)
- .us .ca .uk etc
- New gTld expansion

More ICANN Info

- \$40 million budget based on domain names
- Around 100 staff and a team of consultants
- Head office in Marina del Rey
- Office in Brussels, Washington, and Sydney
- Staff in Canada, Mexico, Italy, Egypt, Bulgaria, Niger, Netherlands, France, Australia
- Staff represent about 20 countries and 29 languages

ICANN's Office of the Ombudsman

- Product of a reform movement
- First Ombudsman appointed Nov 1, 2004
- Executive Ombudsman scheme
 - In the organization but complaints from the outside
 - Investigates
 - Reports
 - Recommends

Purpose of the Ombudsman

- ...ICANN is working towards a stable, secure, and universal internet.
- In working towards that goal, the Office of the Ombudsman will assist ICANN by:
 - Ensuring that members of the community receive fair and equitable treatment;
 - Helping to raise service and administrative standards;

Purpose of the Ombudsman cont.

- ...ICANN is working towards a stable, secure, and universal internet.
- In working towards that goal, the Office of the Ombudsman will assist ICANN by:
 - Improving communication links between ICANN and the community; and,
 - Issuing reports, and maintaining a website that informs consumers, and the ICANN community about issues of interest.

SOME EVALUATION BASICS

Why evaluate; or, Tell a Story That

- *Demonstrates value*

Tell a Story That

- *Demonstrates Value*
- *Shows your program is working*

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- *Demonstrates Value*
- *Shows your program is working*
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- *Illustrates profession linked and service standards*
- *Exemplifies integrity*

Other reasons for evaluation

- Governing body
 - Retention
 - Bonus
 - Budgets – staffing - support

Three basic evaluation time frames

- Ongoing
 - You want to monitor through the evaluation cycle
- Formative
 - 2 – 3 years into operations or evaluation cycle
- Summative
 - 5 years into operations or evaluation cycle

VALUE STATEMENTS

The Values of this Office are:

- -Respect for Diversity;
- -Excellence in Ombudsmanship;
- -Professionalism;
- -Confidentiality;
- -Impartiality;
- -and Independence
- Look at back inside cover of handout

Your Turn

- Small team work
- What are the values of your office?
 - Two values, and explanation

OMBUDSMAN OFFICE PROFILE

Ombudsman Office Profile

- Origin and rationale

Ombudsman Office Profile

- Origin and rationale
- Mandate and Objective

Ombudsman Office Profile

- Origin and rationale
- Mandate and Objective
- Governance structure

Ombudsman Office Profile

- Origin and rationale
- Mandate and Objective
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- Clients

Ombudsman Office Profile

- Origin and rationale
- Mandate and Objective
- Governance structure
- Clients
- Delivery approach

Ombudsman Office Profile

- Origin and rationale
- Mandate and Objective
- Governance structure
- Clients
- Delivery approach
- Outcome and results

Your turn....

- Working in teams of four to six
 - Discuss your office profile
 - Make notes
 - Report back to group

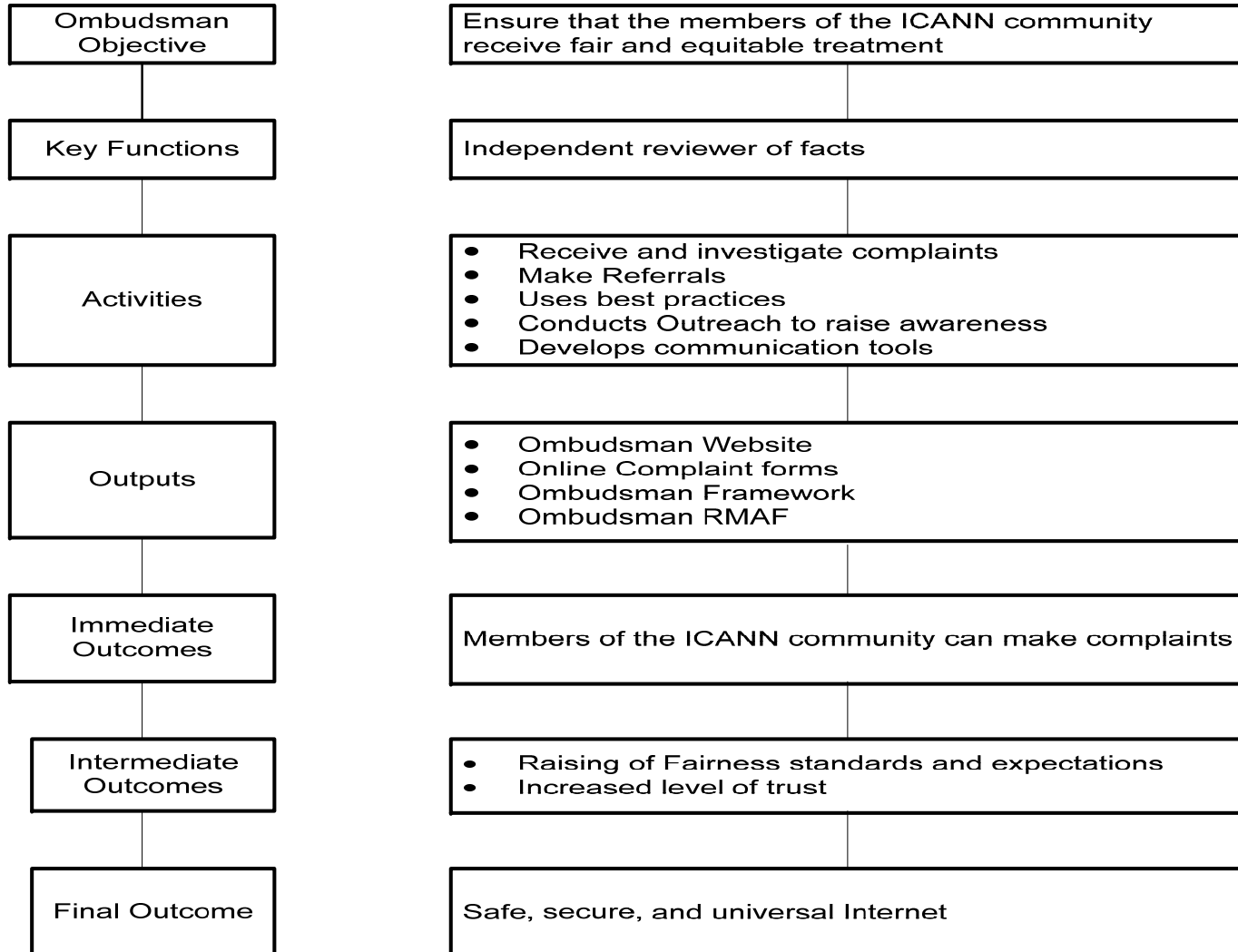
COMPONENTS OF AN EVALUATION PLAN

THE LOGIC MODEL



Office of the Ombudsman

Logic Model



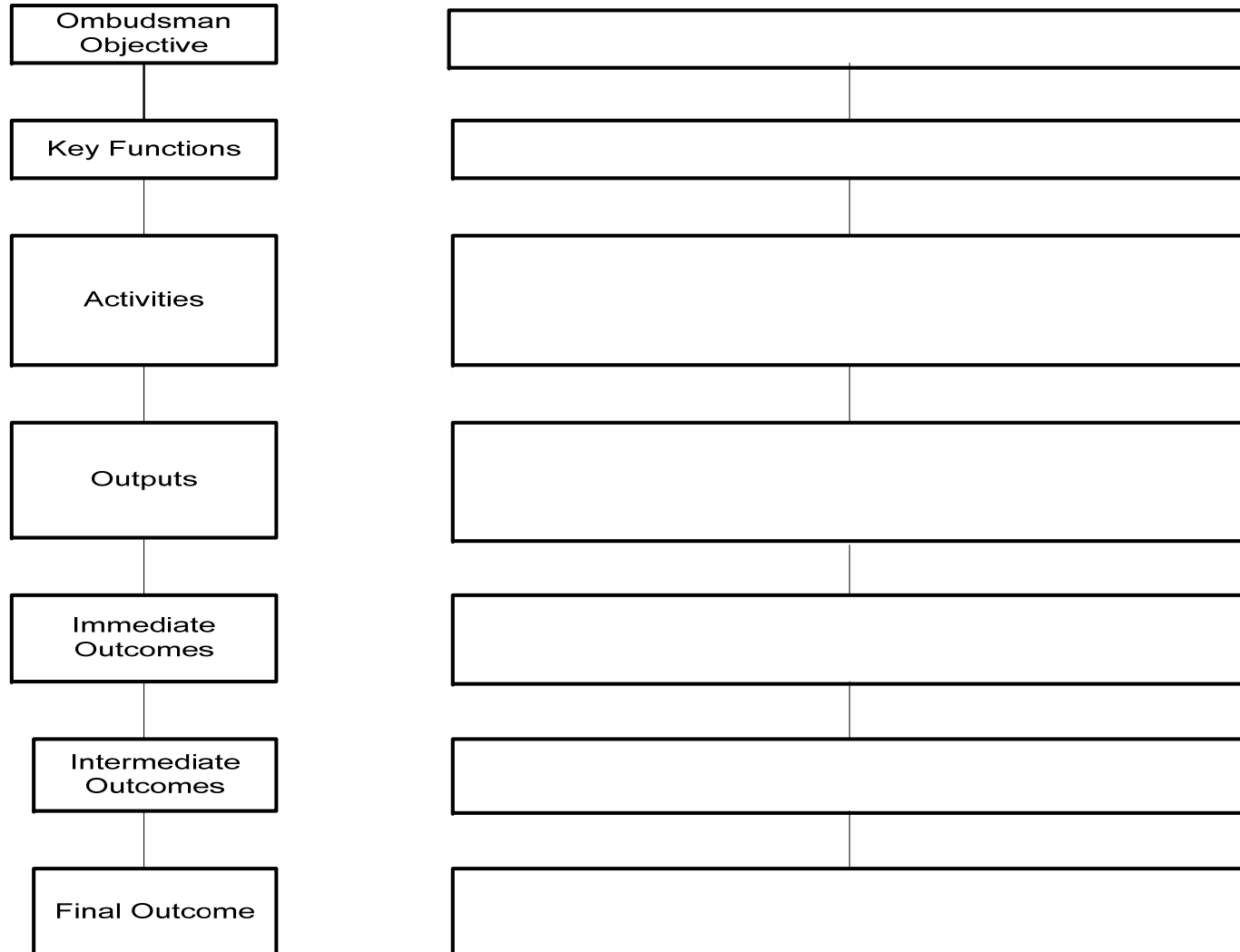
Your turn....

- Complete the logic model for your office



Office of the Ombudsman

Logic Model



EVALUATION STRATEGY

Start with Overview Questions

Relevance

- Is there a continued need for the Office of the Ombudsman?
- Is the Office of the Ombudsman relevant for the continued success of the entity?

Start with Overview Questions

Management Support

- Are the resources given to the Office of the Ombudsman sufficient to its mandate?

Start with Overview Questions

Program Delivery

- Has the Office of the Ombudsman been able to discharge the mandate?
 - Relationships?
 - Backlog?
 - Timely, effective results?
 - Change in the environment?
- Very much dependent on your office type and mandate

Start with Overview Questions

Cost Effectiveness of Operations

- Does your program conduct its work as a productive and efficient part of the organization?
- Are there alternatives to your Ombudsman's Office?

Then Add Evaluation Criteria..

- # of people using Ombudsman services
(call centre, website, complaint form etc)
- # and type of complaints
- # and type of resolutions
- # and type of media mentions that focus on the Office of the Ombudsman
- % of complainants/community who agree there is a need for the Ombudsman
- % of complainants/community who know of an alternative to resolving a complaint if Ombudsman did not exist

Your Turn...

- Management
 - Relevance
 - Program Delivery
 - Cost Effectiveness
-
- In your groups develop two questions and criteria for each as it relates to your office

Tools for evaluation

- Self evaluation
- Application of Standards (ISO)
- Statistical comparisons – longitudinal surveys
- Client Surveys
- Value statement
- Mission statement

REPORTING STRATEGIES

Telling your story

- Annual reports
- Blogs
- Case Studies
- Out reporting
- Story telling
- Media

Your turn

- In your groups discuss how you can let your community, stakeholders, and governing body know about your strategic goal setting, and your evaluation activities.
 - What might work, what might not

Evaluation planning

- Is the first step in the process
- Implement the plan
- Talk about the results

A VALUE MODEL

A value Model

- Guest speaker presentation
- John Zinsser – presentation by long distance

Your Value in Your Organization

Four perspectives on value

- Intended/Desired (designers)
- Expected (users & potential users, partners & collaterals, other stakeholders)
- Appreciated (recognized)
- Unappreciated (missed)

Sources of Value

- **Economic**

- Time
- Productivity
- Workforce
- Hard assets
- Risk Management
- Reputation
- Culture

- Others?

- **Humanistic**

- Morale
- Trust
- Creativity
- Risk Taking
- Reputation
- “Of Choice”
- Culture

- Others?

A Two-part Value Model

- "Cost-Effectiveness of Ombudsman Offices"
Anthony Perneski & Mary Rowe
- "Formality Avoidance as Cost Effectiveness"
John Zinsser

A Value Example

Acme's Ombudsman Generated Savings for One Year

-

| | | |
|----------------------|-------|-------------|
| Productivity | | \$1,197,351 |
| Management Time | | \$1,030,786 |
| Personnel | | \$1,524,798 |
| Legal | | \$0 |
| Miscellaneous | | \$200,000 |
| | Sub | \$3,952,935 |
| Formal Costs Avoided | | \$3,892,890 |
| | Total | \$7,845,825 |

Cost Effectiveness from Value

Acme's Ombudsman returned \$7,845,825
or more than \$9.50 for every \$1 invested.

- This return is in addition to an appreciated but unknowable value of reduced litigation costs.
- This return does not include many additional and especially humanistic benefits.
- This return is EXTREMELY conservative.

Productivity

- Multiply number of resolved cases by the productivity percentage increase (.02).
Then, multiply this result by the average loaded salary of all employees.
- Alternatively multiply productivity increase by the number of parties to case by the daily loaded salary by duration of issue.

Management Time

- Multiply the number of cases involving management in the issues by the daily management average loaded salary. Then, multiply the result by the number of days of the case.
- Multiply result by .1.

Personnel

- Retained employees = number of satisfaction survey results stating “would have left.”
- Multiply number of retained “desired” employees by 1.7 times the average loaded salary.
- Multiply number of retained “highly desired” employees by 2.4 times the average loaded salary.

Formal Costs Avoided

- Determine the average cost for each formal process.
 - Include process and outcome costs.
- Identify types of cases with multiple cases going to formal levels.
- Count the number of cases “of type” managed to close by the ombudsman. (not going to formal levels).
- Multiply the number of cases not going forward of type by the average process cost.
 - Weight increase for serious cases.

Additional Value Contributions

- Ombudsman Handles Issues No One Else Does
 - Less likely of the issue being “stranded.”
- Ombudsman Enhances Other Programs
 - More “just-right” issues navigated to the best resource equates to more efficient programs & resolutions
- Ombudsman Adds Educational Value
 - Coaching and processes used— interest-based negotiation, active listening, etc., teaches users better communication, conflict management techniques, and interpersonal skills.

To Estimate Value You Must Know

Activities

- What you do
- Who you do it for
 - (level, loaded cost, cost to replace)
- How many involved
- How long it takes
 - (duration and time in step/activity)

To Estimate Value You Must Know

Outcomes

- Individual impacts
(retention, envaluement,etc.)
- Case impact
(formality averted, individual & other changes)
- Collateral impacts
(others - individual/program - involved, impacted or not)
- Environmental or System impacts
(institutional changes, reputation enhancement protection, etc.)

EVALUATION TOOLS

Self Assessment 50 Questions

- There is little research in the literature
- Three articles and one dissertation
 - Danet 1978, next significant work in
 - Ayeni 1990,
 - Male 1999 and
 - Hertogh 2000
- General approaches: files closed, per capita work, benchmarking, overview and qualitative

Whither Criteria???

- Three key documents
 - Creating the Office of the Ombudsman
 - (Rick Russell)
 - Essential Characteristics of an Ombudsman
 - (USOA, Gottehrer et al)
 - ABA Ombudsman Standards

What to do with the Criteria

- Compare the criteria to your Office
- Apply
 - Logic
 - Fair and reasonable standards and comparisons
- Use your
 - knowledge base
 - Documentation, annual reports, charter
 - Survey findings

The List

- Handout listing the criteria used
- Bear in mind that The List is not limited to one of organizational, executive, or classical Ombuds. It is a generic list, and some criteria may not apply to you, or some criteria may be repetitive.
- Other sources may also speak to your office.

50 Questions - Context

- When one endeavors to determine what any ombuds program, of any type, does or achieves, the absence of established measurement, evaluation, and assessment criteria immediately becomes apparent.
- Only recently has the subject received meaningful attention. Much more remains necessary.

50 Questions - Limitations

- Not about program performance
- Does not quantify Office activities/Outcomes (measurement).
- Does not examine measures to generate a value proposition (evaluation).
- Does not pursue whether ICANN achieves, by creating the Office, any intended outcome (effectiveness).

Your turn

- Each participant has completed the online survey and answered the 50 questions
- Let's spend an hour going through this exercise.
 - What did you learn?
 - What stood out for you?
 - What was the single best question?
 - How do the 50 questions reflect the 6 reasons to evaluate?

ISO Standards

- ISO 10002
 - design and implementation of an effective and efficient complains-handling process for all types of commercial or non-commercial activities, including those related to electronic commerce.

ISO Standards

- ISO 10003
 - provides guidance for the handling of complaints when they are not resolved internally

ISO Standards

The organization should plan and design an effective and efficient complaints-handling process in order to increase customer loyalty and satisfaction, and also to improve the quality of the products provided. This process should comprise a set of interrelated activities that function harmoniously and use various personnel, information, material, financial and infrastructure resources to conform to the complaints-handling policy and achieve the objectives. The organization should take into account the best practices of other organizations with regard to complaints handling.

Statistical Comparisons

- A useful tool
- Comparisons based on:
 - Raw number of files
 - Files per staff member
 - Cost per file
 - Cost per file per staff member

Your turn

- Who would you compare yourself to?
- What would the points of comparison be?
- Who would be interested in knowing what you found out and why?

System User Surveys

- Again, the survey should start with the reason that you want to evaluate:
 - Demonstrating value
 - Competence
 - Improvements
 - Successes
 - Service standards
 - Integrity

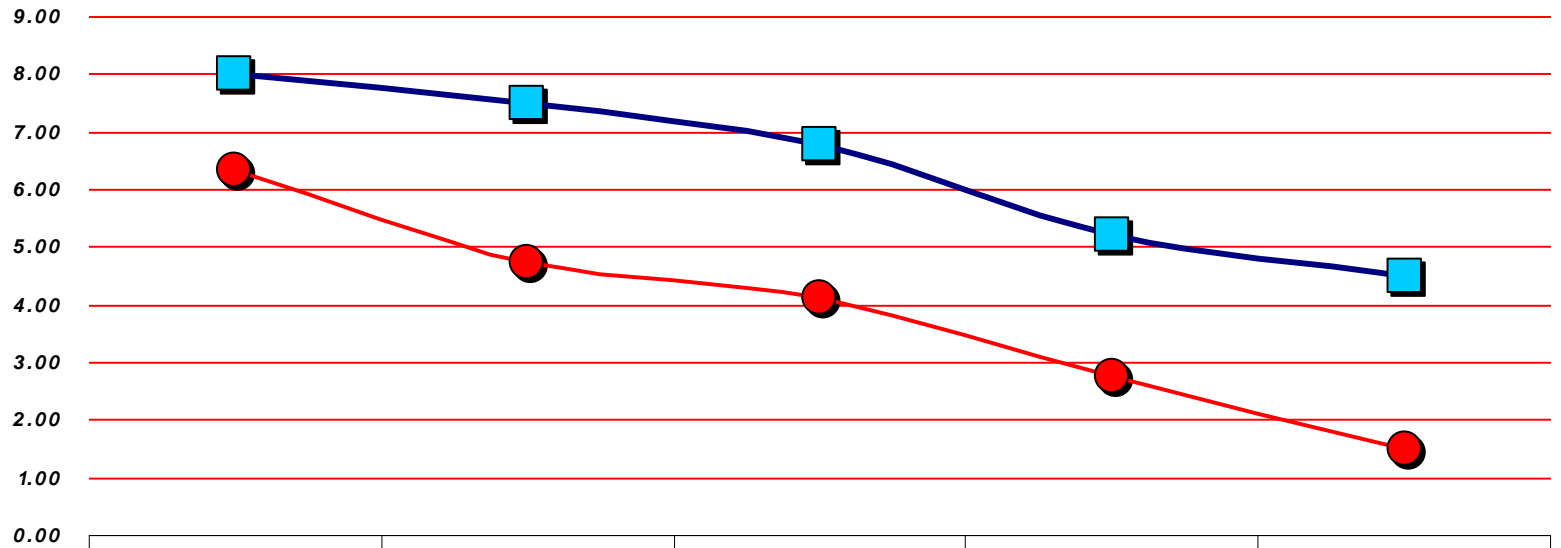
System User Surveys

- Think about your responses to your pre-course survey and what you learned

Your Turn

- Xref pages 19 – 21 in the guide
- working in teams
- Go to
<http://www.surveymonkey.com/Default.aspx>
- Login as fowlie@icann.org - ombuddy
- Click on create survey
- Create 5 questions

Satisfaction based on Jurisdiction and Outcome



| | High Jurisdiction - High Outcome | High Jurisdiction - Moderate High Outcome | Omnibus | Low Jurisdiction - Moderate Low Outcome | Low Jurisdiction - Low Outcome |
|------|----------------------------------|---|---------|---|--------------------------------|
| High | 8.00 | 7.50 | 6.79 | 5.20 | 4.50 |
| Low | 6.33 | 4.75 | 4.13 | 2.75 | 1.50 |





The Third Party Review

- Fact-Check/Verify
- Commentary
- A neutral, independent voice about Ombuds functions
 - For Leadership
 - For Users
 - For the Ombuds

The Third Party Review

- Simple Process
 - Review the contributing material/report
 - Interview (if needed)
 - Examine performance claims via data
- Simple Report
 - Repetition
 - Augmentation of voice

The Third Party Review

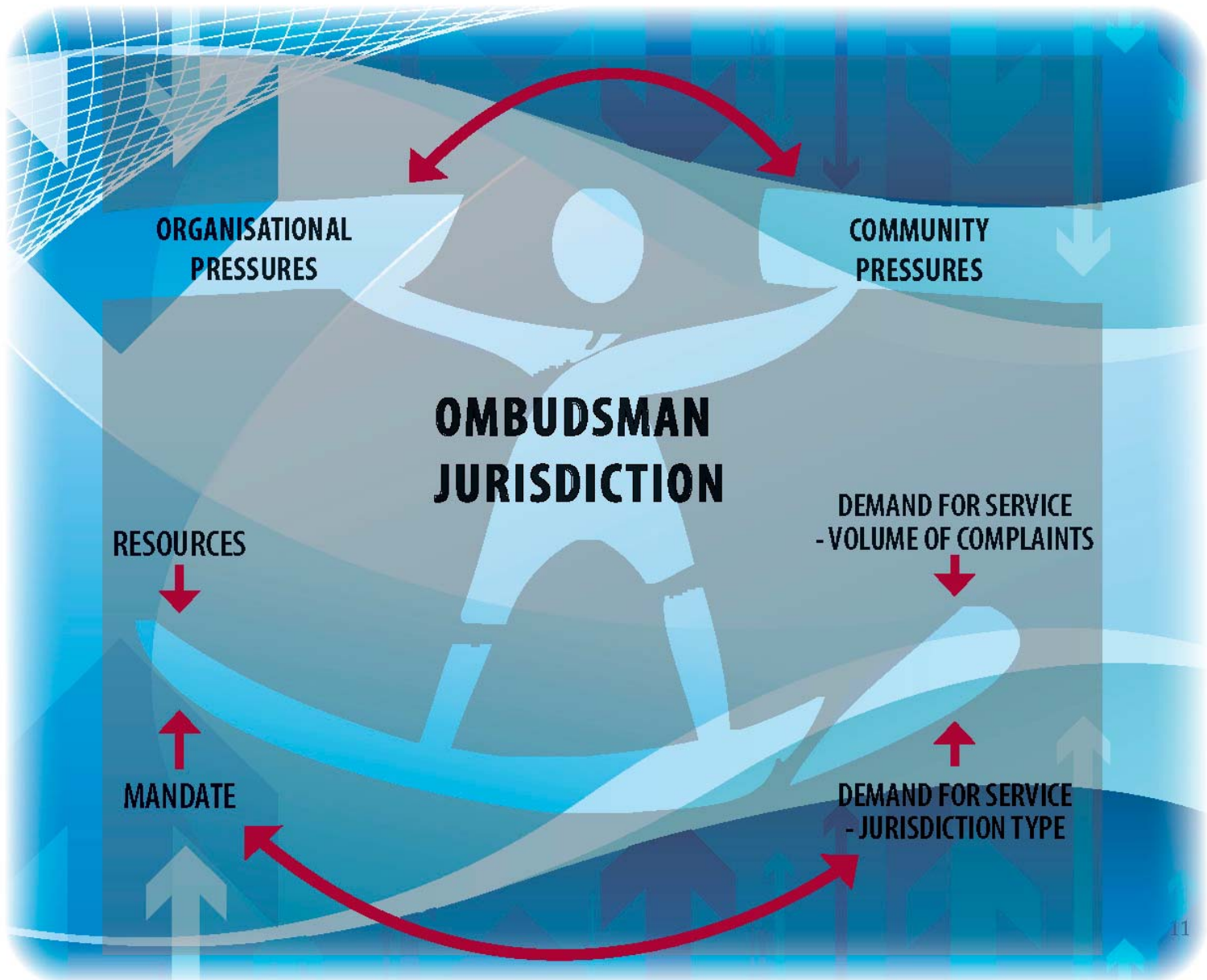
- Adds Another Iteration/A Hand
- Enhances Veracity
- Relieves Self-promotional Challenge

Third Party reviewers?

- Peers
- Learners
- Consultants
- Retired Ombudsman
- Others?

Your turn

- What part of the evaluation process would you be able to use a third party reviewer with?
- Why is that a critical part of the process that needs the third party validity?
- Who would you consider as your reviewer?



So, now what???

- Who do you give copies/summaries to?
 - Government
 - Executive Management
 - Staff
 - Stakeholders - Critics
 - Public postings (Annual Report – website)
 - Other Ombudsmen
 - Other

How do you.....??

- Implement improvements you identify
- Fix problems
- Celebrate your successes
- Communicate:
 - your contribution and
 - program integrity
- Deal with service standards

Your turn

- Reflect on your thoughts yesterday to the four key evaluation criteria
 - Relevance
 - Management Support
 - Program delivery
 - And cost effectiveness

- Based on everything we have done, prepare a summary paragraph on each

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- Providing upward **feedback?**

Questions?

I'd appreciate your feedback.

- Tools generally
- The Guide
- Satisfaction gap theory

Special thanks to:

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Pacifica Human Communications

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