

Office of the
ICANN Ombudsman

Evaluating Ombudsman Intake Programs

Forum of Canadian Ombudsman
Toronto, January 2008

Complaint Intake: Challenges,
Ideas and Techniques

What we'll cover today

- Information about the organization, the ombudsman, and the outside expert
- Some assessment basics – planning and implementing assessment over time
- Using criteria to assess your Ombudsman Intake program
- Using a third party to verify results
- ISO Standards

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

More ICANN Info

- \$40 million budget based on domain names
- 89 staff and a team of consultants
- Head office in Marina del Rey
- Office in Brussels 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

More about the Ombudsman

- Ombudsman – sole practitioner
- Complaints of unfairness about ICANN
- Complaints and contacts
 - 2004 – 10
 - 2005 – 1682
 - 2006 – 319
 - 2007 – 242

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.

Why Assess?

- Demonstrate Value?
- Is it working?
- What can be improved?
- Celebrate successes?
- Ensure service standards?
- Demonstrate integrity?
- Appointment renewal?
- Other?

Assessment Principles

- Fair, honest, accurate
- Established assessment plan
- Understandable and relevant criteria
- Assessment tied to comparative analysis
- Multi faceted analysis
- Use of outside assessment experts

My Assessment Criteria

- Multi stage, multi pronged, multi year
- Ongoing, formative, summative

To Begin

- Plan the assessment
 - Results Based Management Accountability Framework (RMAF)
<http://www.icann.org/ombudsman/documents/rmaf-08feb05.pdf>
 - Logic model
 - 7 assessment questions
 - 15 criteria

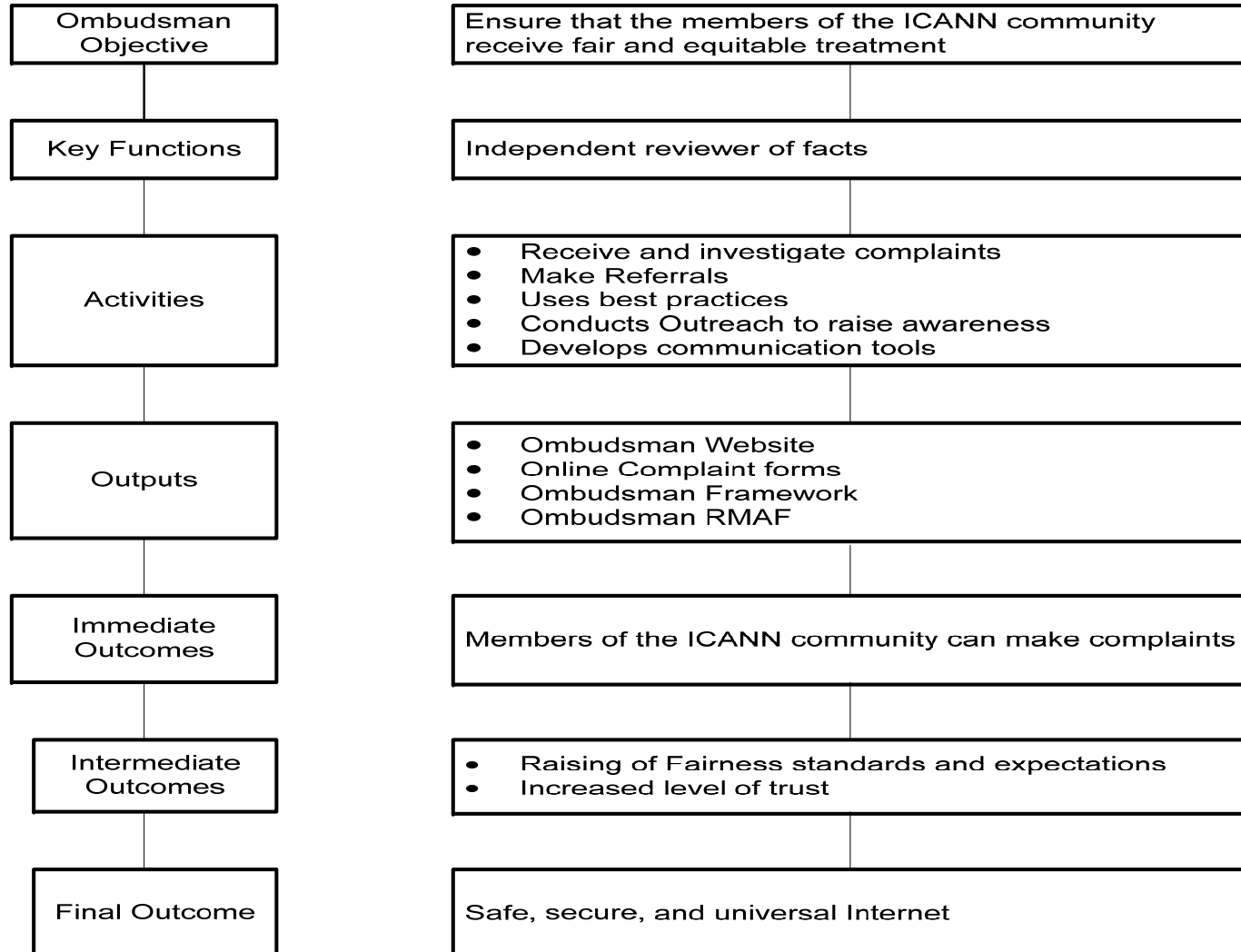
To begin...2

- Consider what evaluations tools work for:
 - You
 - The “Why” reason
 - Your budget
 - Your audience

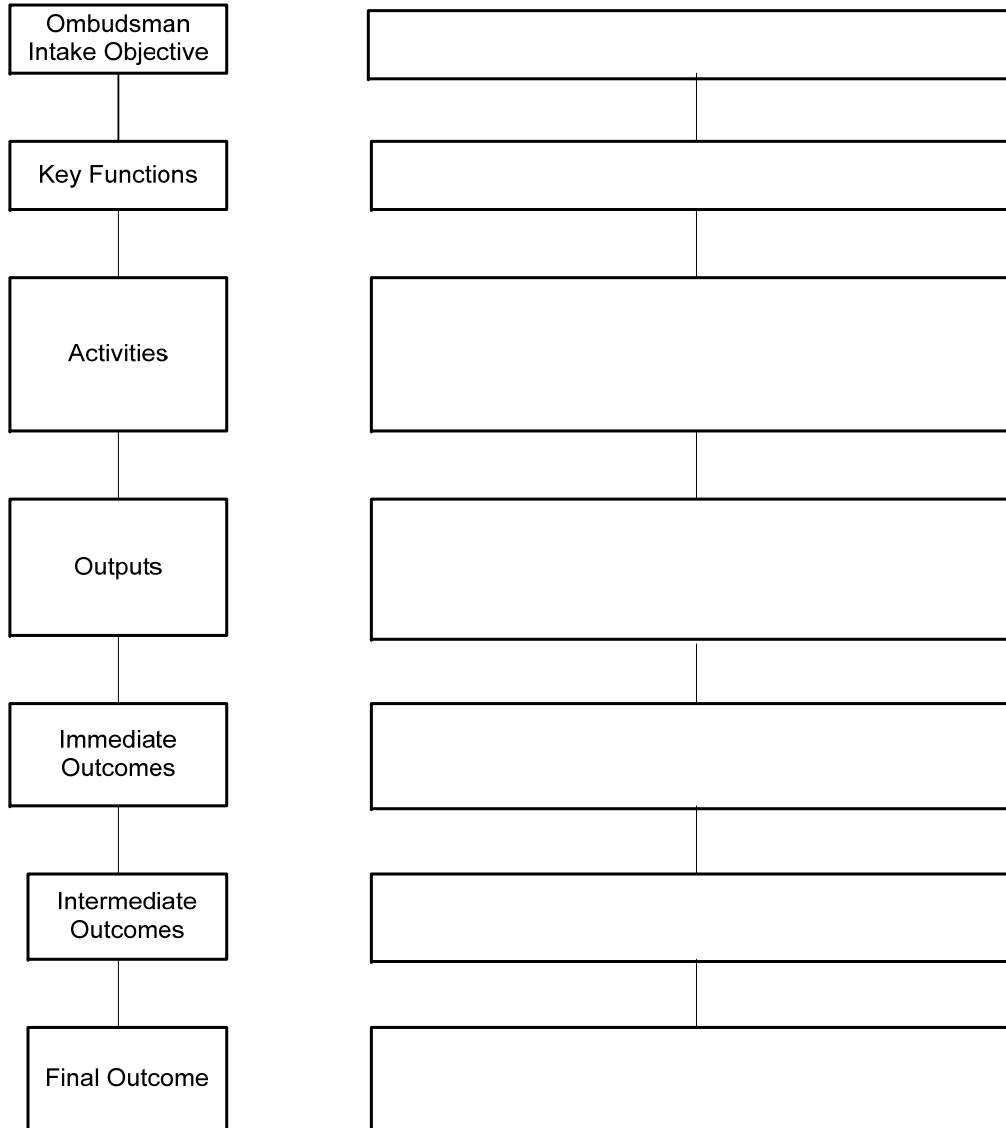


Office of the Ombudsman

Logic Model



Office of the Ombudsman
Intake Operations
Logic Model



Relevance	
Management	
Program Delivery	
Cost effectiveness	

Literature Based Assessment

- 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.

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

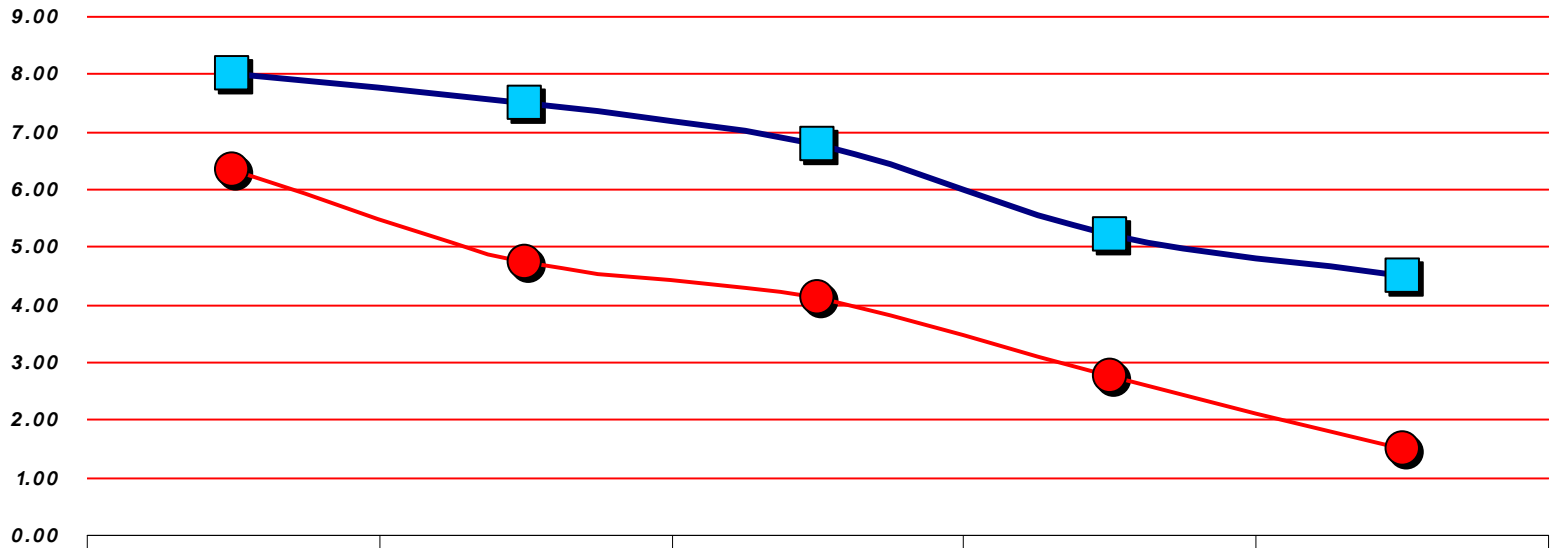
LBE - Limitations

- 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).

Client Surveys

- Attitudes
- Understanding of role
- Appropriate referrals or self help

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





Comparisons

- Statistical or longitudinal data
 - Number of contacts
 - Number of staff
 - Cost of operations
 - In – out of jurisdictional issues

Comparisons

- Statistical or longitudinal Analysis
 - Numbers of intakes per staff member
 - Cost per intake
 - Cost of handling referrals
 - % volume of jurisdictional complaints

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

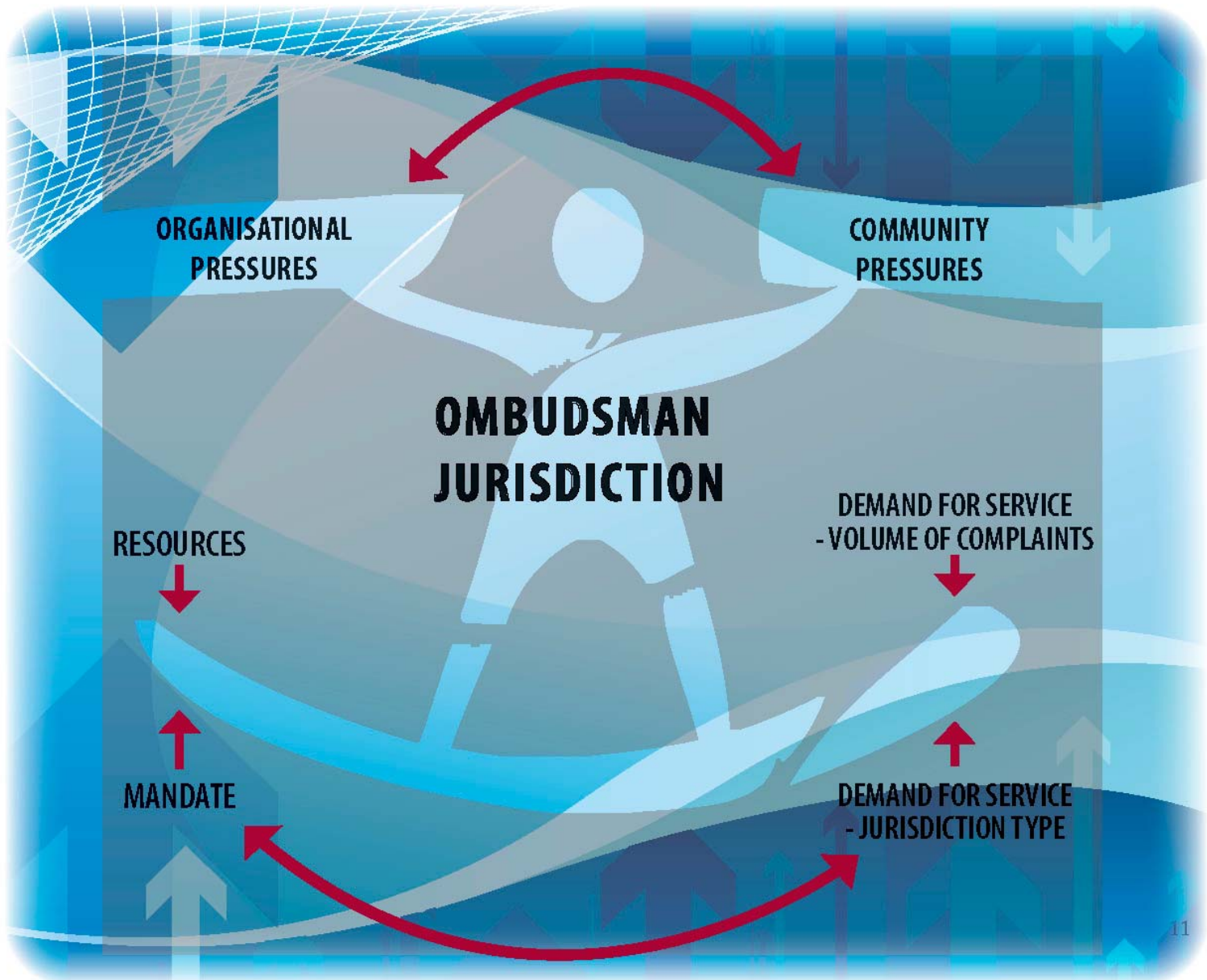
- ISO 10003
 - provides guidance for the handling of complaints when they are not resolved internally

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



Questions?

I'd appreciate your feedback.

- Tools generally
- The Guide
- Satisfaction gap theory

Special thanks to:

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