Down the Home Stretch....
Ombudsman Operations: Strategic Planning and Evaluation Basics

United States Ombudsman Association, Lexington, October 2008
About your presenters

- **Gord Button**
  - Alberta’s 7th Ombudsman
    - September 2003
  - RCMP Career
  - Chief Superintendent
  - Director General of Organizational Renewal and Effectiveness

- **Frank Fowlie**
  - ICANN’s 1st Ombudsman
    - November 2004
  - Varied career
  - Wrote doctoral dissertation on Ombudsman evaluation
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?
This session is about:

• Using planning tools to assist Ombudsman offices to:
  – Develop strategic business goals, contingencies, and responses
  – Create methodologies to evaluate operations and effectiveness
  – Demonstrate value
What we are going to do:

• Gord will discuss strategic planning in the first portion
• Frank will discuss evaluation planning in the second part
• Materials for participants:
  – slides, scorecard, evaluation guide, logic model blanks
• Bovine Scatology testing aka ......
Strategic Business Planning for Ombudsman Offices

“THE ALBERTA PERSPECTIVE”
Outline of the Session

- The Alberta Ombudsman Situation
- Developing a Strategic Business Plan
- The Need for a Strategic Business Plan
- Development Process
- Implementation and Management
- Managing Change
- Discussion
The Alberta Ombudsman Situation

- Newly appointed Ombudsman
- Increased requirement for accountability
- Need to demonstrate our value
- Very senior long term staff
- Personnel issues
- Very little sense of organizational challenges
- No “team” commitment - going through the motions
- Strategic Business Plan required to support budget proposals
- 3 Year Plans now entering 3rd update
Developing a Strategic Business Plan

The Process:

- Collaborative effort
- Involving staff ensures quality and commitment
- Senior management has significant input based on responsibilities
- Sequential steps
- Use of experienced facilitators is an option
Developing a Strategic Business Plan

The Purpose:
- Demonstrate value to stakeholders
- Commit organization to a vision
- Drive performance on multiple perspectives
- Support budget and resource proposals
- Performance management tool
  - Links individual performance to organizational priorities
  - Links rewards to performance
- Create a team commitment to organizational success
The Need for a Strategic Business Plan

- 70 - 90% of effectively formulated business strategies fail at execution

- Good execution of a modest business strategy can lead to success
What gets measured gets done!

Strategic Business Plan + Effective Measurement = Success

“It is better to get it roughly right, right away than to take too long and get it precisely wrong.”
Development Process

Vision, Mission and Values:

- Create clarity
- Define capability
- Build commitment
- Becomes your accountability framework
- Strategic Business Plan builds on Vision, Mission and Values
Development Process

SWOT Analysis:

**Strengths**

**Weaknesses**

**Opportunities**

**Threats**

- Input of all staff
- Management issues may carry more weight
- Priorized
- Reflected advice of facilitators
SWOT Analysis

Strengths - Can be leveraged to reach your Vision

The Alberta Perspective:

- Dedicated, experienced staff
- Flexibility of work environment
- Good reputation and credibility with authorities
- New management and a fresh direction
- Healthy workplace – security, benefits, systems, programs

What are your strengths?
SWOT Analysis

Weaknesses - Must be improved upon to meet your Vision

The Alberta Perspective:

- Lack of public awareness of the Ombudsman in Alberta
- No proactive investigations in recent years (Ombudsman own motion/ministerially ordered investigations)
- Perception of a lack of resources
- Lack of effective strategic business planning, implementation and measurement
- Need for better internal communication and team building
- Turnover of personnel and requirement to orient/train new staff

*What are your weaknesses?*
SWOT Analysis

Opportunities - Help establish priorities to reach your Vision

The Alberta Perspective:

- Success of recent public awareness initiatives
- Expanded and enhanced services - Alternative Complaint Resolution (ACR) process
- Recent changes to the Ombudsman Act - new jurisdictions
- Build on internal efficiencies
- Increased use of technology
- New staff - realignment to investigative capacity
- New management personnel and structure

What are your opportunities?
SWOT Analysis

**Threats - The challenges or risks**

**The Alberta Perspective:**

- Resistance to the change process
- New roles, responsibilities and processes
- Increasing complexity of investigations and new jurisdictions
- No Strategic Business Plan or performance measures
- Low public awareness, confusion about the role of the Ombudsman
- New staff with limited directly-related investigative experience

*What are your threats?*
Environmental Scan

- Assessment of factors, trends, public policy issues, economic factors that could impact your organization
- Some factors may be reflected in your SWOT analysis

The Alberta Perspective:
- Expanding jurisdiction
- Outsourcing of government services
- Hot economic forecast
- Government support for the Ombudsman function
- Access to information through technology
- Demand for accountability
- Government priorities on education, health care, economic diversification
- Lack of public awareness of the Ombudsman function
Stakeholder Input

- Assessment of what stakeholders perceive and expect of your organization’s priorities

**The Alberta Perspective:**

- Complainants wanted:
  - More involvement in our investigations
  - Regular updates
  - Better explanation of investigative outcomes
  - Quicker responses
  - Problem resolution and redress
Stakeholder Input

The Alberta Perspective:

- Authorities wanted:
  - To reduce administrative burden of responding to investigations
  - Problem solving vs. adversarial approach
  - Reduced number of complaints
  - To understand our role and process
  - Quicker responses
  - Continuous improvement of government

What is the perspective of your stakeholders?
Development of Goals

- What are the long term results we need to achieve to fulfill our mandate?
  - Determined based on previous steps
  - Facilitators/consultants can assist
  - Must be definitive so you can develop measurement tools
  - Will reflect your Vision, Mission and Values
  - The “what” part
Goals:

- High quality service
- Fair and accountable administration
- Alignment of resources, policies and processes
- Public awareness and education

What are your goals?
Determining Objectives

- What are the core business objectives that must be pursued to attain your goals?
  - Flows from goal development process
  - The “how” part
Objectives:

- To manage the workload in an efficient and effective manner
- To excel in investigations
- To improve workplace wellness and staff development
- To enhance knowledge and understanding of the role of the Ombudsman
Our goals and objectives are interrelated as depicted in the following matrix:

<table>
<thead>
<tr>
<th>OBJECTIVES</th>
<th>GOALS</th>
<th></th>
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</thead>
<tbody>
<tr>
<td></td>
<td>High Quality Service</td>
<td>Fairness &amp; Accountable Administration</td>
<td>Alignment of Resources, Policies &amp; Processes with Core Business Objectives</td>
<td>Public Awareness &amp; Education</td>
</tr>
<tr>
<td>To manage the workload in an efficient and effective manner.</td>
<td>X</td>
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<tr>
<td>To enhance the knowledge and understanding of the role of the Ombudsman.</td>
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<td>X</td>
<td>X</td>
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</tr>
</tbody>
</table>
Developing Key Initiatives

- What are the detailed actions necessary to attain each objective and therefore accomplish your goals?
  - Must be action oriented
  - Sequential steps
  - Reasonable but challenging time frames
  - Must be quantifiable
  - Development of metrics
- Developing your Strategic Business Plan is one of your Key Initiatives
Implementation and Management

- Accountability
  - Shared ownership of each initiative is imperative
- You cannot do it all at once
  - Prioritize three or four essential projects that must be accomplished to progress
  - Develop teams of champions for each project
- Develop a regular process for reports back to the entire organization
  - Monthly all staff meetings
- Celebrate your successes!
- Format for reporting
  - Scorecard
Implementation and Management (Cont’d):

- Think and manage in terms of your Strategic Business Plan
  - Use it to focus efforts
  - Link rewards to efforts to accomplish objectives
- Update annually
  - Drop achieved initiatives
  - Add new ones consistent with updated SWOT analysis, environmental scan and business pressures
Managing Change

- This process will be a change process for your organization
- Management must carefully consider the elements of a successful change initiative
- Resistance to change is to be expected

What do you think your challenges will be?
For A Minute There
You Bored Me To Death
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
- 89 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*
Tell a Story That

• *Demonstrates Value*
• *Shows your program is working*
• *Honestly talks about what can be improved*
Tell a Story That

• *Demonstrates Value*
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• *Honesty talks about what can be improved*
• *Identifies the successes you can celebrate*
Tell a Story That

- Demonstrates Value
- Shows your program is working
- Honestly talks about what can be improved
- Identifies the successes you can celebrate
- Illustrates professionally linked and service standards
Tell a Story That

• Demonstrates Value
• Shows your program is working
• Honestly talks about what can be improved
• Identifies the successes you can celebrate
• 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
• Governance structure
• 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

**Ombudsman Objective**
Ensure that the members of the ICANN community receive fair and equitable treatment

**Key Functions**
Independent reviewer of facts

**Activities**
- Receive and investigate complaints
- Make Referrals
- Uses best practices
- Conducts Outreach to raise awareness
- Develops communication tools

**Outputs**
- Ombudsman Website
- Online Complaint forms
- Ombudsman Framework
- Ombudsman RMAF

**Immediate Outcomes**
Members of the ICANN community can make complaints

**Intermediate Outcomes**
- Raising of Fairness standards and expectations
- Increased level of trust

**Final Outcome**
Safe, secure, and universal Internet
Your turn....

• Complete the logic model for your office
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
Questions for Gord or Frank

• Thanks!!!

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• frank.fowlie@icann.org
Weblinks

- http://www.icann.org/ombudsman/program.html
- This presentation is at: