

Office of the  
ICANN Ombudsman

# CAN YOU EVALUATE OMBUDSMAN OPERATIONS?

US Ombudsman Association  
Anchorage, September 2007

PUBLIC SECTOR OMBUDSMAN:  
STRATEGIES FOR AN EVOLVING  
PROFESSION

**YES!**

# 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 found in the literature to assess your Ombudsman 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 – likely in the range of 250 +



# 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

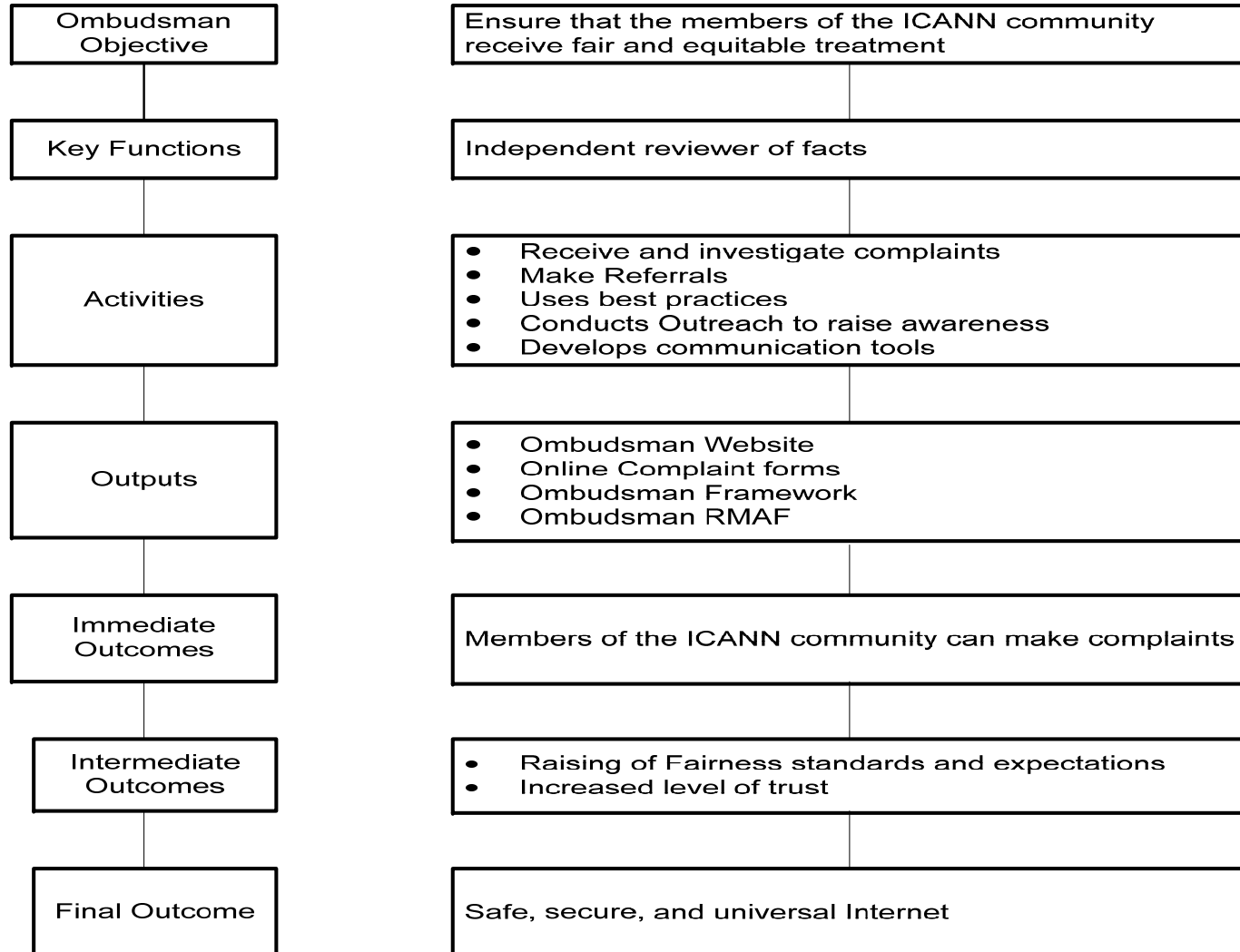
# To begin...2

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



## Office of the Ombudsman

### Logic Model





# Steps to Date:

- Three sets of ongoing assessment questions for the Annual Report
- Statistical Comparison
- Client Satisfaction Survey
- Literature Based assessment and Independent Review
- <http://www.icann.org/ombudsman/program.html>

# 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



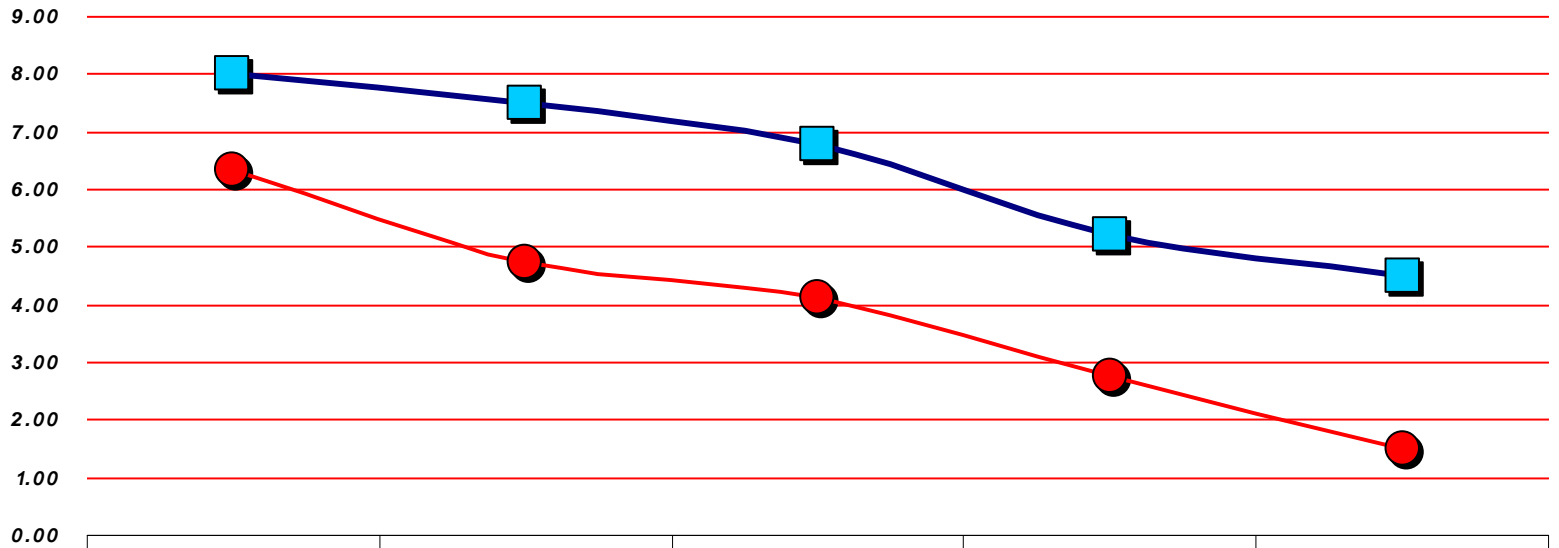
# LBE - Context

- 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.

# 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).

### 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





# 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

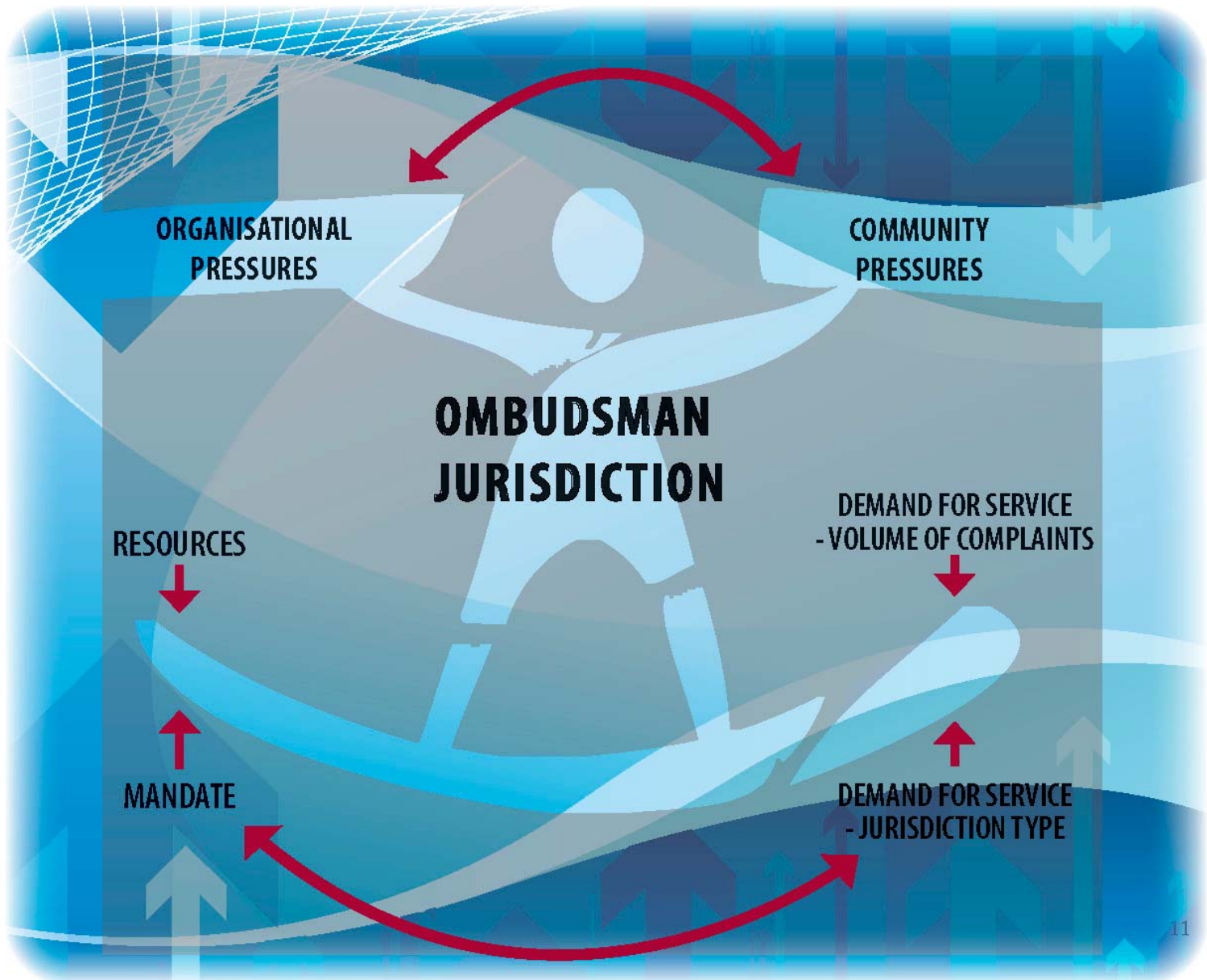
# So, now what???

- 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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