

Down the Home Stretch....



Ombudsman Operations: Strategic Planning and Evaluation Basics

United States Ombudsman Association,
Lexington, October 2008

Presented by:

Frank Fowle
ICANN Ombudsman



Gord Button
Alberta Ombudsman



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 second part
- Materials for participants:
 - slides, scorecard, evaluation guide, logic model blanks
- Bovine Scatology testing aka



ALBERTA OMBUDSMAN
Focused on Fairness

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
- Prioritized
- 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:

VISION: *The Office of the Alberta Ombudsman is the recognized leader for independent investigation, promotion and support of administrative fairness.*

OBJECTIVES	GOALS			
	High Quality Service	Fairness & Accountable Administration	Alignment of Resources, Policies & Processes with Core Business Objectives	Public Awareness & Education
To manage the workload in an efficient and effective manner.	X		X	
To excel in investigations.	X	X		
To improve workplace wellness and staff development.	X		X	
To enhance the knowledge and understanding of the role of the Ombudsman.		X		X



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



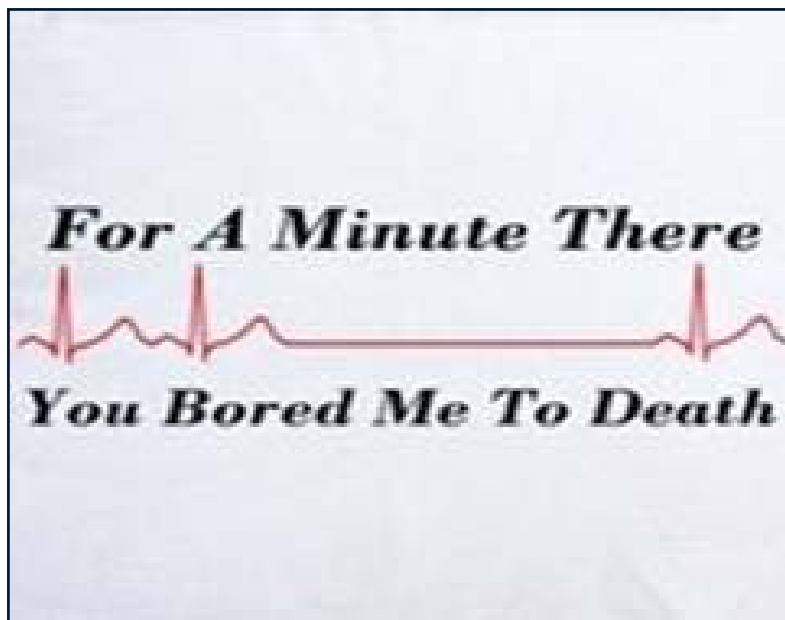
Managing Change

- 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?



ALBERTA OMBUDSMAN
Focused on Fairness



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*
- *Shows your program is working*
- *Honestly 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

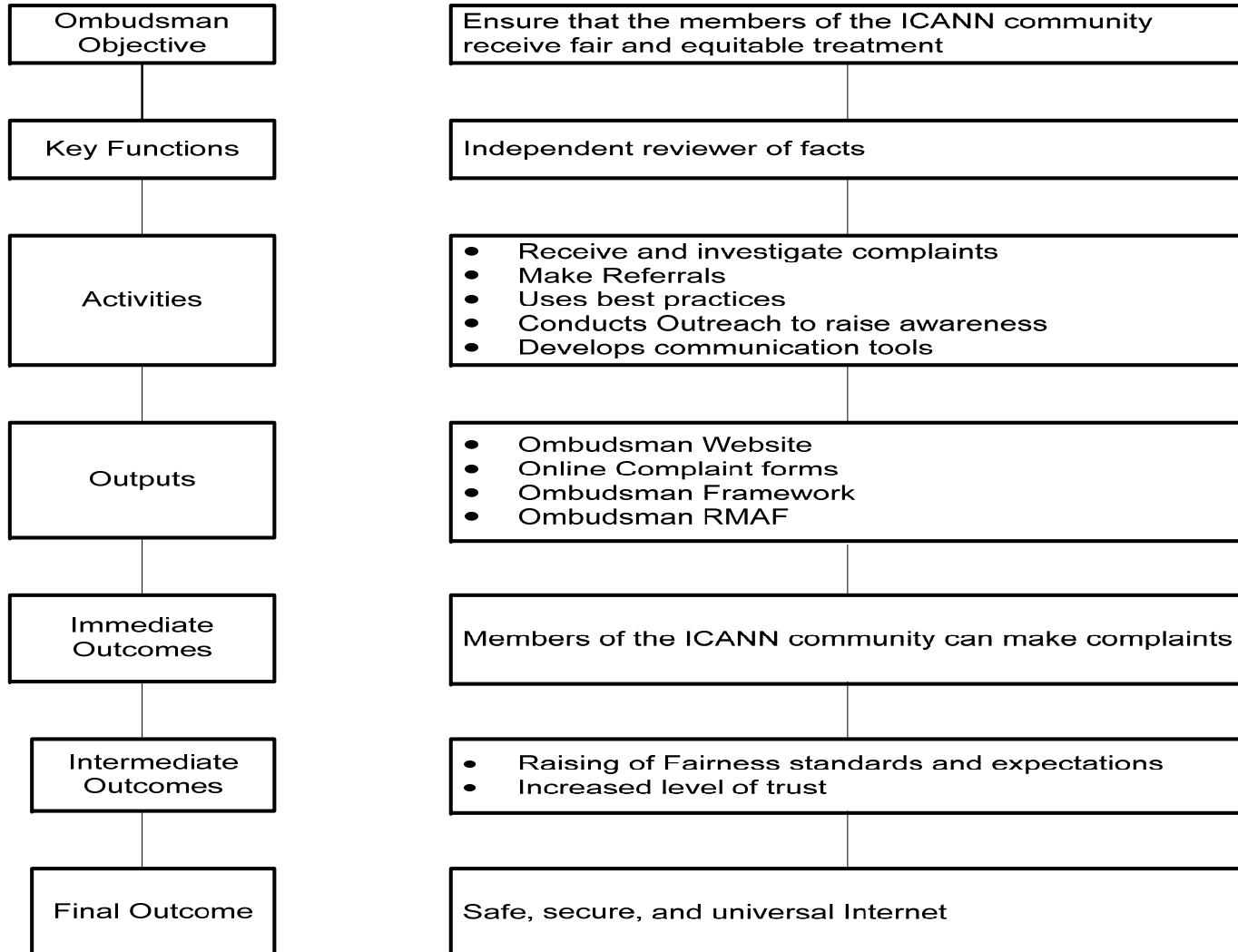
COMPONENTS OF AN EVALUATION PLAN

THE LOGIC MODEL



Office of the Ombudsman

Logic Model



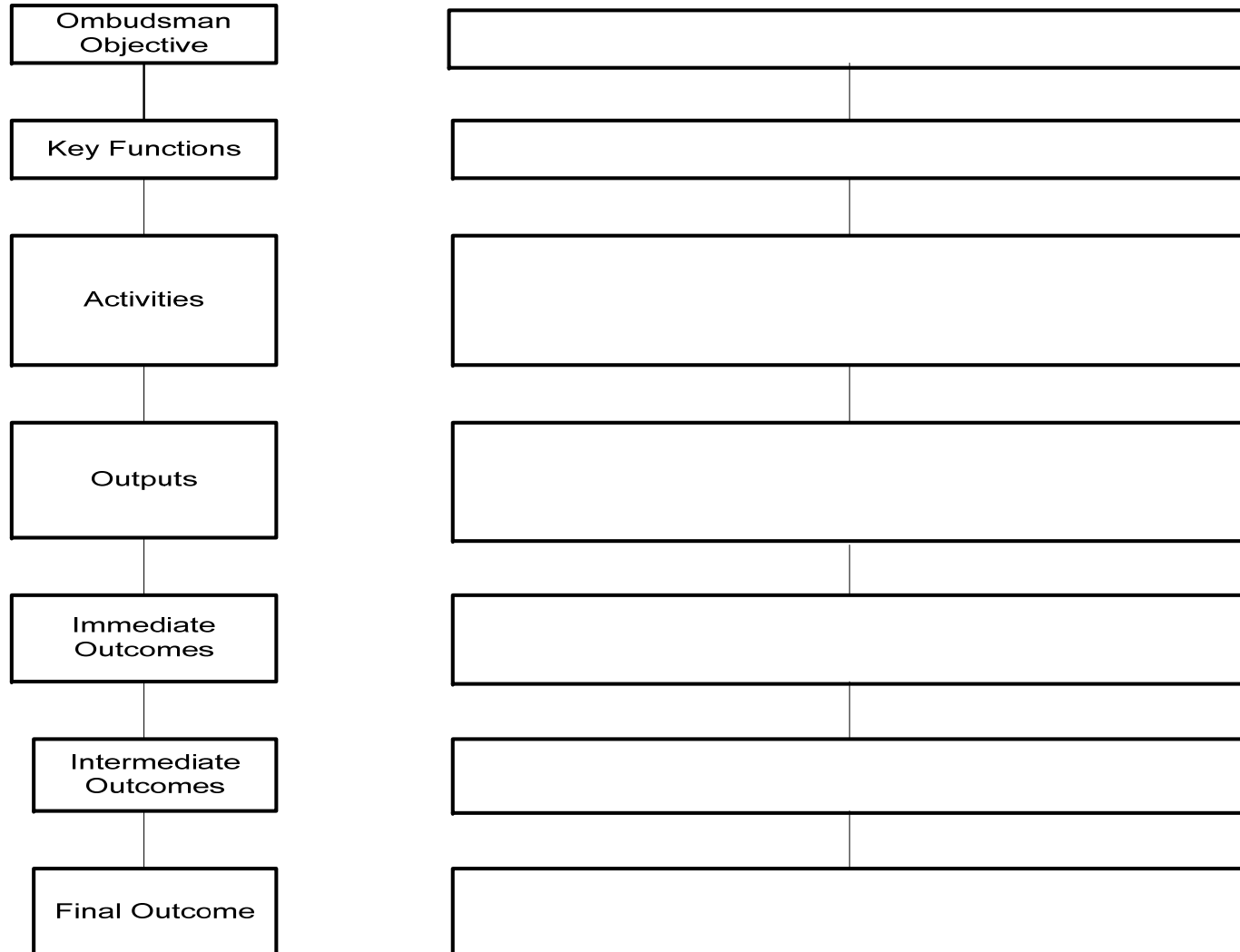
Your turn....

- 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

Questions for Gord or Frank

- Thanks!!!
- Gord.Button@ombudsman.ab.ca
- frank.fowlie@icann.org

Weblinks

- <http://www.icann.org/ombudsman/program.html>
- <http://www.ombudsman.ab.ca/mission.php>
- <http://www.ombudsman.ab.ca/pdfs/business-plan-0810.pdf>
- This presentation is at:
- <http://www.icann.org/ombudsman/us-ombudsman-assoc-sept08.pdf>