

8

Survey of Corporate Ombudsmen;
work activities, approaches and outcomes
James T. Ziegenfuss, Mary Rowe, and Robert
C. O'Neil, Annual Conference

1989

May 22

**SURVEY OF CORPORATE OMBUDSMEN:
WORK ACTIVITIES, APPROACHES AND OUTCOMES**

by

James T. Ziegenfuss, Jr., Ph.D.
Penn State University
Associate Professor of Management and Health Care Systems
Graduate Program in Public Administration
Middletown, PA 17057

Mary Rowe, Ph.D.
Special Assistant to the President - Ombudsman
Massachusetts Institute of Technology
Adjunct Professor, Sloan School of Management
Cambridge, MA 02139

Robert F. Munzenrider, Ph.D.
Penn State University
Associate Professor of Public Administration
Graduate Program in Public Administration
Middletown, PA 17057

for
Sixth Annual Corporate Ombudsman Association Meeting
May 22, 1989

- Preliminary Report for Conference Presentation -

Executive Summary

This paper presents the results of the second national survey of Corporate Ombudsmen in private companies. In 1982 the Corporate Ombudsman Association was formed to identify and to link staff in private companies acting in the role of ombudsman. There is limited information on how many people are acting in this role, the nature of their activities and the results that they produce for their companies.

The results of this survey data represent a sample of the companies that have been members of the ombudsman association. These companies were surveyed to gain their perspective on the work of the ombudsman including the nature and extent of cases and contacts, response activities, legal involvement and outcomes.

The responses of the ombudsmen indicated that:

1. Each ombudsman serves several thousand employees and managers, handling an average of 150 cases and responding to 168 contacts per year.
2. Program budgets are about \$200,000 per year with salaries ranging from \$25,000 to \$125,000 (\$55-75,000 average).
3. Ombudsmen use seven techniques most frequently: giving hearing to feelings, active listening, developing options, coaching, fact finding, making recommendations and upward feedback.
4. Interpersonal and career concerns were the most frequent subjects of contacts and cases.
5. Ombudsmen are concerned about legal involvement and are asking for policy guidance and support for confidentiality and neutrality.
6. Ombudsmen feel they saved their companies significant money and provided important service in the past year through cases involving personnel retention, litigation avoidance and management styles; conserving in the range of \$7,000 to \$1,000,000 per year (\$100,000-200,000 median).

a median = $\frac{3}{50}$
150
2500
6%

Needs discussion

single cases?

Ombudsmen, although still relatively small in numbers as a formally identified group, have established a critical role and function in major private companies and in agencies. They are dealing with significant issues which have the potential to impact very strongly on their respective companies. The Ombudsman appears to be gaining a significant position within private industry as a key element of a comprehensive problem resolution system.

Acknowledgements

We would like to express our appreciation to those whose support made this survey possible. First, we thank the ombudsmen who took the time to fill out our "brief" questionnaire. We are aware of busy schedules and appreciate the effort. Second, we thank the Corporate Ombudsman Association for their sponsorship and for their contributions. Last, we would like to thank Penn State Harrisburg for its support of the project - both directly through the research fund and by its contribution of faculty, staff and other support.

Introduction

This study reports data on the role and function of the private sector ombudsman as defined by members of the Corporate Ombudsman Association. This association was formed in 1982 to identify problem solvers in companies (some labeled ombudsmen) performing the same kinds of activities. Association members were interested in identifying the exact nature and extent of ombudsman activities in companies across the United States and they wanted an organization to support practicing ombudsmen and their employers.

Reviews of the literature indicated that there are significant writings on the role of the ombudsman in American and foreign organizations.^{1,2,3} However, the bulk of this academic and professional literature involves non-profit organizations and government agencies sometimes through related programs such as peer review.⁴ Few articles address the ombudsman in private industry. The classic reference for private sector ombudsman was written by Isadore Silver, appearing in the Harvard Business Review in 1967.⁵ but there were few related articles in the following 20 years. Research has been opened recently with articles by Rowe^{6,7,8}, Robbins^{9,10} and by Ziegenfuss^{11,12,13,14}. Ombudsmen concepts and practices are surfacing but it is clear that there is a need for additional information regarding the role and function of the ombudsman in private business and industry.

This survey was developed as a result of efforts over some five years including an earlier survey¹⁵ and was supported by funding from several corporate members and the Corporate Ombudsman Association. The purposes of this study involve the interests of individual ombudsmen, the Association and the greater field of organization and management research as follows:

1. The study further examines the nature and characteristics of the ombudsman role in private sector company members of the Association including legal involvement.
2. The study reports data on the critical activities and the problems faced by ombudsmen and their companies.
3. The study analyzes data on salaries, budgets, cost savings, new techniques and outcomes.

The research is to contribute to the development of knowledge about corporate ombudsmen and about innovative methods for conflict resolution and organizational development.

Methodology

This methodological section describes the sample, survey procedure, questionnaire and research topics, and the analysis plan.

Sample. The sample included in this survey was developed from lists provided by the Association. It appears to represent the variety of ombudsmen quite well, in that there is diversity in size of employee group served, budget levels and industry or field. At this stage of our research, the sample represents a good set of responses but generalizations should still be made carefully. We will expand the sample as we identify additional ombudsmen.

Procedure. The survey questionnaire was mailed to members of the Corporate Ombudsman Association and to attendees of the annual Corporate Ombudsman Association meetings. Questionnaires addressed to persons who no longer were ombudsmen were passed on to the new ombudsman in the relevant

company. Other ombudsmen were identified as a result of the follow-up process and were subsequently sent questionnaires.

The questionnaire was mailed to 125 ombudsmen on the original list. Along with the questionnaire was a memo describing the purpose of the study from Mary Rowe, Chairperson of the Corporate Ombudsman Association Research Group. Also enclosed was a post card addressed to the research group at Penn State University. On the back of the post card ombudsmen were to check off that they had enclosed their questionnaire in a self addressed stamped envelope and returned it. This allowed researchers to identify which ombudsmen returned their questionnaires but did not allow identification of the questionnaires themselves. After a period of two to three weeks the members to whom the questionnaire was sent were mailed a follow up memo and some were called individually to increase participation. All replies to questionnaire items were confidential. Data from 51 questionnaires are presented here.

Instrument. There were four major areas of content addressed by the questions: functions and contact/case levels; approaches and techniques; legal aspects; and, outcomes. The topics were developed through individual interviews with ombudsmen, through surveys and inquiries at the COA Board meeting and at the annual conferences. A purposeful effort was made to include items specifically requested by Association members.

Analysis Plan. This preliminary survey analysis was initiated with simple frequency of response counts. Tables (available from the authors) summarize the data in total. Open ended comments are recorded as written, without editorial changes. A "second opinion" on the analysis will be generated by soliciting comments from ombudsmen attending the Sixth Annual Corporate Ombudsmen Conference. During the presentation and at the conference attendees will be asked for their comments and views of the analysis. This "interactive" review will insure that a collective perspective emerges which will serve to further strengthen the final report.

Results & Discussion

The results and discussion follows the content themes for the survey namely:

- . ombudsman characteristics and work levels
- . approaches, activities and techniques
- . legal aspects
- . outcomes

Our intent was to generate data that would continue the definition of the concept and role, surface new techniques as well as define common approaches, consider increasingly important legal aspects and begin to present outcomes as reported by ombudsmen.

Ombudsmen Characteristics and Work Levels

Six questions addressed a description of ombudsmen--characteristics, job functions and work levels. We wanted first to know how many managers and employees are served by the ombudsmen.

- . responses ranged from 125 to over 10,000 per ombudsman with a median of 4,500.

Work load according to contacts versus fully investigated complaints was also of interest. Contacts were defined as "informal, brief often 15 minutes

or less, one encounter and done." Cases were defined as being more "formal, often taking an hour or more."

*Head
managers*

- . responses indicated that contacts ranged from 25 to 2,500 per ombudsman per year with a median of 168.
- . cases per year ranged from 2 to 2,000 with a median of 150.

We know that ombudsmen programs differ significantly from company to company. Budget and tenure of the ombudsmen are two "program defining" characteristics that indirectly imply level of commitment to the concept.

- . responses indicate that the annual budgets of the ombudsman office range from \$5,000 to \$500,000 (median \$200,000).
- . ombudsman salaries range from \$25,000 to over \$125,000 with \$55-75,000 as a median.

Ombudsman background and company tenure also vary. According to those responding:

- . ombudsmen have spent 16 years with their company (median)
- . ombudsmen have served in the position for 3 years (median) with the range 1 to 37 years.
- . and ombudsmen come from a variety of fields (from liberal arts to law) with graduate school education likely (over 40% have graduate degrees).

Approaches, Activities, Subjects and Techniques

There is only limited information available on the approaches, complaint subjects, and emerging techniques ombudsmen use to solve problems. Practicing ombudsmen and managers have a keen interest in identifying successful problem solving strategies and they are interested in knowing how their "complaint set" compares to others.

We inquired about the approaches and techniques used by ombudsmen. Seven approaches/techniques were cited as in use about "half the time" or more.

- . giving hearings to feelings
- . active listening
- . developing options
- . coaching
- . fact finding
- . making recommendations
- . upward feedback

The frequency of certain kinds of cases and contacts was also cited as important information particularly with regard to how the cases were handled (alone, with another office, by referral). Concerns were grouped to generate a "cluster" view of categories of complaints and problems. Levels of activity for the clusters is as follows:

	Approximate Activity per 1000 Employees Last Year <u>Combined Contacts & Cases Rate</u> (Per 1000 Employees)
. Discrimination	0.8
. Career/work concerns	1.6
. Personal Health	0.6
. Interpersonal/Emotional	2.2
. Ethics	0.3
. Miscellaneous	1.0

Certain types of cases were more likely to be handled by referral and joint problem solving, e.g. sexual and racial discrimination and harassment, AIDS, drugs and alcohol, serious emotional disturbances, dishonesty cases and nepotism. Other cases were more likely to be addressed by the ombudsman alone with the client e.g. career and work concerns such as hours and location.

The data can be used to begin to identify problems reported to ombudsmen per thousand employees. While the data are speculative at this point (based on activity approximations) the following problem activity levels were identified as highest (particularly career/work concerns and interpersonal/emotional).

- . subordinate-supervisor relations -- 6.6 per thousand
- . salary and benefits -- 3.6
- . suggestions -- 2.7
- . work assignment -- 2.7
- . performance evaluation -- 2.5
- . promotion -- 1.9
- . transfer -- 1.8
- . termination -- 1.6
- . meanness -- 1.3
- . hours of work -- 1.3

Many ombudsmen and those companies considering program development are concerned about the power to create change on both an individual and a systems level. Where does the power of the ombudsmen to address individual and system changes come from?

- . responses indicate that personal credibility, access to senior executives and problem solving skills create power.

Ombudsmen in the network want to know about unusual or innovative techniques developed by colleagues. Several suggested include the following: lunch and learn sessions; meeting off campus; sense of function and purpose meetings and publicity through speaking and education. There were only 22 new techniques suggested leaving us with the suspicion that there are more innovative techniques out there but still unidentified.

Legal Aspects

Many ombudsmen have had to confront the legal side of the work -- through threatened or actual involvement in litigation. Six questions were directed at the legal aspects of ombudsman work. Ombudsmen are concerned about the following legal issues:

- . Company willing to ask courts to quash subpoena to protect confidentiality and neutrality (yes 72% no 28%)
- . Plaintiff ability to subpoena the ombudsman or a fact finding report in lawsuit (yes 54% no 46%) (15% only the report) (6% one) (33% both)
- . Company agreement exists that ombudsman will not be asked to testify against former client (yes 23% no 77%)
- . Should you have an agreement (yes 69% no 31%)
- . Ombudsman association should develop position papers on role in legal proceedings (yes 98% no 2%)
- . Has ombudsman been involved in legal proceedings regarding confidentiality and neutrality (yes 30% no 70%)

Ombudsmen clearly would like some assistance in this area as litigation issues become more common. The issues are both complex and emergent as only limited

numbers of ombudsmen have been involved to date, but many expect to confront the problem at some point.

Outcomes

Two questions were directed at the outcomes of ombudsman work. The first inquired about which case saved your company the most money in the last year. The most frequently mentioned types of cases were:

- . retention of valuable personnel
- . litigation avoidance
- . management styles and interpersonal relations

Ombudsmen estimated that these types of cases helped the company significantly -- in financial terms estimating the savings in the range \$7,000 to 1 million dollars with the median \$100,000-200,000. The ombudsmen were asked to describe the cases that produced the savings. Case descriptions are summarized in Tables.

We were also interested in examples of successful and unsuccessful cases. Ombudsmen provided many examples. Successful cases involved improving the clarity of policy and persuading management to address and solve problems. Several ombudsmen noted success in difficult sexual harassment cases.

Unsuccessful cases involved particularly employee terminations, ethics and sexual harassment. One view of the inclusion of sexual harassment cases in both successful and unsuccessful groups involves their degree of difficulty. With failure there is high frustration, with success a good sense of accomplishment.

Summary

This survey was conducted to extend our information base on corporate ombudsmen. The study indicated that ombudsmen typically:

- serve several hundred to several thousand employees and managers
- respond to over 300 contacts and cases per year
- operate with \$200,000 budgets and receive salaries of approximately \$55-75,000.
- come from a variety of fields, have spent 16 years with the employer and have served in the ombudsman role for 3 years
- use seven approaches frequently: giving hearings to feelings, active listening, developing options, coaching, fact finding, making recommendations, and upward feedback.
- confront these problems most often: interpersonal and career concerns
- are concerned about legal issues including protection of their neutrality and confidentiality
- and produce significant cost savings in selected cases.

Although the sample is still not absolutely definitive, the data contributes to our knowledge base on corporate ombudsmen. We are beginning to describe in detail who they are, the problems they face, the approaches they use and the results of their work. An innovative concept is gradually being mapped for understanding and for further adoption by new companies.

References

1. Gellhorn, W. Ombudsman and Others: Citizen's Protectors in Nine Countries. Cambridge, MA Harvard Univ. Press, 1966.
2. Caiden, G.E. International Handbook of the Ombudsman. Evolution and Present Function (Vol. 1). Westport, Conn.: Greenwood press, 1983
3. Caiden, G.E. International Handbook of the Ombudsman Country Surveys (Vol.2) Westport, Conn.: Greenwood Press 1983
4. Olsen, F. "How peer review works at Control Data" Cambridge, MA Harvard Business Review, 1984
5. Silver, I. "The Corporate Ombudsman." Harvard Business Review May-June 1967.
6. Rowe, M; "The Corporate Ombudsman: An Overview and Analysis" Negotiation Journal April 1987
7. Rowe, M.; Baker, M. "Are You Hearing Enough Employee Concerns" Harvard Business Review 62(3), May, June 1984.
8. Rowe, M.; Russell-Einhorn, M., Baker, M.; "Fear of Aids" Harvard Business Review 64(4). July-Aug. 1986.
9. Robbins, L. and W. Deane, "A Non Adversarial Alternative for Employee Conflicts" Alternatives to the High Cost of Litigation September, 1985
10. Robbins, L. "Corporate Ombuds: An Expanding Development" in press In R. Denenberg Ed. Handbook of Dispute Resolution Bureau of National Affairs, 1987.
11. Ziegenfuss, J.T.; Charette, J.,; Guenin, M. "The Patients Rights Representative Program: Design of An Ombudsman Service for Mental Patients" Psychiatric Quarterly 56 (1) Spring, 1984.
12. Ziegenfuss, J.T. Patient-Client-Employee Complaint Programs: An Organizational Systems Model. Springfield, Illinois: Charles C. Thomas, 1985.
13. Ziegenfuss, J.T. "Corporate Complaint Programs Make Gains From Gripes" Personnel Journal 66(4) April 1987.

14. Ziegenfuss, J.T. Organizational Troubleshooters: Resolving Problems for Customers and Employees. San Francisco, CA: Jossey Bass, 1988.
15. Ziegenfuss, J.T.; Rowe, M.; Robbins, L.; Munzenrider, R. "Corporate Ombudsmen." Personnel Journal 68(3) March, 1989.

I. GENERAL INFORMATION

1. The approximate total number of managers and employees served by the ombudsman office is 4500 .

2. Which case or which kind of case that you handled in the last year saved your company the most money?

2a. Total Estimated Savings \$ 100-200,000

2b. Please describe the case (for example, "We retained an extremely valuable scientist who had been in serious conflict.") 27 responses

3. Please make rough estimates of the numbers of contacts and cases you see in a year.

Contacts 168 per year - Contacts are informal, brief (often 15 minutes or less, one-encounter and done).

Cases 150 per year - Cases are more formal, often taking an hour or more.

II. LEGAL ASPECTS OF OMBUDSMAN FUNCTION

4. If a former employee/client sued your company and you were subpoenaed by that person's lawyer, do you believe that your company would be willing to attempt to have the subpoena quashed in order to protect the confidentiality and neutrality of the ombudsman office? 72% Yes 28% No

5. If you had written a formal, fact-finding report about a case which subsequently had become a lawsuit against your company, should the plaintiff (presumably a former client) be able to subpoena you and/or the report?

41% No 15% Yes, the report 6% Yes, me 33% Yes, both me and the report

6. Do you have an agreement with your company that, in order to protect the confidentiality and neutrality of the ombudsman office, you will not be asked to testify against a former client? 23% Yes 77% No

7. If you do not have an agreement with your company that you will not be asked to testify against a former client, do you believe that you should have such an agreement? 69% Yes 31% No

8. Should the Ombudsman Association develop position papers or policy proposals concerning the role of the ombudsman in legal proceedings? 98% Yes 2% No

9. Has your ombudsman office ever been involved in a legal proceeding in which issues about the confidentiality and neutrality of the ombudsman function has been an issue? 30% Yes 70% No

10. About what proportion of your working time is devoted to each of the following activities?

- a. 48 % Counseling and Complaint Handling -- Listening, helping to frame options, processing complaints.
- b. 16 % Management Advising and Consulting -- Providing upward feedback about issues, which may lead to policy and/or systems changes.
- c. 7 % Education -- Helping to train managers, supervisors and others.
- d. 9 % Administration -- Budgeting, general management, marketing, writing articles for company newsletters or similar media.
- e. 11 % Other _____

(= 100%)

IV. OMBUDSMAN

APPROACHES

11. Below is a list of approaches and techniques that ombudsmen use when working with clients and dealing with issues. Please indicate how frequently you use each of these approaches or techniques. Indicate the frequency by writing the appropriate number next to each item using the following scale:

About

<u>Never</u>	<u>Occasionally</u>	<u>Half The Time</u>	<u>Usually</u>	<u>Always</u>
1	2	3	4	5

Please mark the appropriate scale value next to each item.

- a. 4 Giving a hearing to feelings -- (e.g.) defusing rage, providing sympathy.)
- b. 5 Active listening -- listening to the client's concerns and assisting the client to formulate the problem clearly.
- c. 4 Developing options with the client.
- d. 2 Immediate Referral to other offices/people/helping resources.
- e. 3 Coaching -- training in the use of company rules or procedures and/or role playing a situation with the client.
- f. 2 Shuttle Diplomacy -- working back and forth between clients or groups.
- g. 2 Informal Mediation -- seeing disputants together in your office.
- h. 1 Codification -- preparing formal written agreements between parties.
- i. 4 Fact finding -- to determine the facts of the case.
- j. 3 Making recommendations to management for resolution.
- k. 2 Turning the case over to others at a later stage.
- l. 1 Arbitration/adjudication -- making a decision about a dispute which is binding on the parties concerned.
- m. 2 Generic intervention -- working towards a general solution rather than raising a particular incident in order to deal with a specific incident.
- n. 3 Upward feedback regarding general policy problems or systems change.
- o. 2 Other technique/action _____

12. How frequently do certain kinds of cases/contacts occur in your organization? Below is a list of issues that occur in organizations. For each issue area, please indicate (1) whether the **ISSUE** is handled by the ombudsman office; (2) the **APPROXIMATE** number of contacts/cases in this area that your office handled last year; and (3) the **TYPICAL** manner in which your office responds.

As above, we define Contacts as informal, brief (15 minutes or less) and typically one-encounter and done. Cases, in contrast, are more formal and take longer.

We recognize that some cases will fall into multiple categories (e.g., termination because of drug problems). Use your best judgement about the appropriate category.

If the ombudsman office in your organization does not handle a particular type of complaint, mark the "No" category in the Issue column and then go on to the next item. If you do handle some issue but had no contacts or cases in that area in the last year, mark the "Yes" category and then skip on to the next item. **ESTIMATES RATHER THAN EXACT NUMBERS ARE OK.**

	ISSUE		INCIDENCE		TYPICAL DISPOSITION (CHECK ONE)		
	Handled By Ombuds Office? No/Yes		APPROXIMATE Number Last Year Contacts Cases (medians)		Handle Alone With Client	Work With Another Office	Refer Immediately
A. DISCRIMINATION							
Terminations	N	Y 69%	0	3	29%	63%	8%
Sexual harassment	N	Y 80	2	2	22	38	41
Racial harassment	N	Y 75	0	1	14	45	41
Sex discrimination	N	Y 75	7	1	19	44	37
Racial discrimination	N	Y 75	0	1.5	11	52	37
Reverse discrimination	N	Y 64	0	0	33	38	29
Other EEO/AA (e.g. Handicapped, etc.)	N	Y 66	0	1	26	52	22
B. CAREER/WORK CONCERNS							
Hours of work	N	Y 84	0	1	50	47	3
Location of work	N	Y 75	0	3	41	55	3
Transfer/Job Posting	N	Y 89	0	5	36	53	11
Work assignment	N	Y 87	0	3.5	39	47	14
Termination	N	Y 86	0	5	34	59	6
Promotion	N	Y 87	0	4.5	32	56	12
Performance evaluation	N	Y 92	1	12	44	47	8
Salary/benefits	N	Y 83	2	5	29	63	9
Deliberately unfair/illegal allocation of benefits	N	Y 67	0	0	10	71	19
Deliberately unfair/illegal denial of benefits	N	Y 68	0	0	10	71	19
Safety problems	N	Y 76	0	1	8	65	27
Other	N	Y 94	0	12	50	30	20

V. ACTIVITY PROFILE, Cont'd.

	ISSUE		INCIDENCE		TYPICAL DISPOSITION (CHECK ONE)		
	Handled By Ombuds Office? No/Yes		APPROXIMATE Number Last Year Contacts Cases (medians)		Handle Alone With Client	Work With Another Office	Refer Immediately
<u>C. PERSONAL HEALTH</u>							
Health (Not drug/alcohol-related)	N	Y 67%	0	3	20%	56%	24%
AIDS concerns	N	Y 52	0	0	15	50	35
Drug problems	N	Y 60	0	1	5	59	36
Alcohol problems	N	Y 63	0	2	4	56	41
Smoking problems	N	Y 73	0	2.5	35	48	17
Other	N	Y 56	0	3	0	100	0
<u>D. INTERPERSONAL/EMOTIONAL</u>							
Assisting subordinate-supervisor relations	N	Y 96	0	10	49	49	3
Serious emotional disturbance	N	Y 71	0	1.5	0	46	54
Meanness	N	Y 80	0	2	35	58	8
Dangerous coworker/subordinate	N	Y 78	0	0	8	54	39
Other	N	Y 70	0	0	100	0	0
<u>E. ETHICS</u>							
Waste of money/resources	N	Y 76	0	.5	14	57	29
Theft/misappropriation of property	N	Y 73	0	0	0	61	39
Client/customer/vendor complimentary benefits	N	Y 71	0	0	8	54	38
Financial wrongdoing -- favoritism, bribery, kick-backs, insider trading	N	Y 71	0	0	4	46	50
Fraud, misrepresentation of products or results	N	Y 58	0	0	5	42	53
Leak, sale or theft of proprietary ideas, design equipment, etc.	N	Y 59	0	0	6	50	44
Product substitution, or other failures to meet contract specs	N	Y 61	0	1	5	57	38
False time cards or record keeping	N	Y 75	0	1	12	40	48
Misuse of company/government property	N	Y 71	0	0	0	64	36
Shoddy quality/performance	N	Y 72	0	0	5	71	24
Other	N	Y 71	0	0	40	40	20

V. ACTIVITY PROFILE, Cont'd.

	<u>ISSUE</u>		<u>INCIDENCE</u>		<u>TYPICAL DISPOSITION (CHECK ONE)</u>		
	<u>Handled By</u>		<u>APPROXIMATE</u>		<u>Handle Alone</u>	<u>Work With</u>	<u>Refer</u>
	<u>Ombuds Office?</u>		<u>Number</u>	<u>Last Year</u>	<u>With Client</u>	<u>Another Office</u>	<u>Immediately</u>
	<u>No/Yes</u>		<u>Contacts</u>	<u>Cases</u>			
<u>F. MISC.</u>							
(medians)							
Suggestions for change in company policy	N	Y 94%	0	3	21%	71%	7%
Privacy Problems	N	Y 74	0	0	38	56	6
Drug Testing	N	Y 40	0	0	15	62	23
Nepotism or favoritism on a personal/sexual basis	N	Y 85	0	1	25	58	17
Environmental hazards	N	Y 65	0	0	0	65	35
Other	N	Y 91	12	7	29	57	14

G. EMERGING ISSUES

Have you encountered any new or unusual problems in the last year? If so, please describe.

45% N Y 55%

VI. OMBUDSMAN TECHNIQUES

13. Many Ombudsman network members have expressed an interest in hearing about unusual or innovative techniques that their colleagues use to handle cases and publicize their functions. Briefly describe below any particularly effective approach or technique you use.

47%

VII. GENERAL

14. What are the sources of your power to resolve problems?

88%

15. Please indicate the size and estimate the annual budget of your Ombudsman office.

Number of Ombudsman 1 Estimated Annual Budget \$194,000

16. How many years have you served in the ombudsman position in this company? 3 Years.

17. How many years have you worked at your company? 16 Years.

18. What is your educational background? Please check degrees obtained and indicate fields(s) of study.

Bachelors (Major) 71%
 Masters (Area of Study) 41%
 Doctorate (Area of Study) 12%

19. Please estimate your salary within one of the following ranges:

18%	\$25 - \$35,000	12%	\$65 - \$75,000
10	\$35 - \$45,000	8	\$75 - \$85,000
12	\$45 - \$55,000	10	\$85 - \$100,000
10	\$55 - \$65,000	10	\$100 - \$125,000
		8	Over \$125,000

20. Please briefly describe one successful and one unsuccessful case that you have handled recently.

A. Successful -- A case that was professionally satisfying (e.g., an early warning about a possible unsafe practice in the workplace permitted a production manager to make changes before anyone was hurt.)

69%

B. Unsuccessful -- A case that defies resolution (e.g., Despite meticulous and continuous effort, we have been unable to confirm or disaffirm the truth of a sexual harassment complaint, and we still do not know who is lying.)

67%

THANK YOU COMPLETING THIS SURVEY FORM. PLEASE MAIL IT
 TO US IN THE ENCLOSED ENVELOPE AND WE'LL SHARE THE
 FINDINGS AT THE NEXT MEETING.

TABLE 1.
SUMMARY STATISTICS.

NUMBER OF MGRS AND EMPLOYEES SERVED BY OMBUD OFFICE

<u>SIZE OF ORGANIZATION</u>	<u>NUMBER OF CASES</u>	<u>PERCENT OF CASES</u>
UNDER 1000	4	8.3
1000-2500	11	22.9
2500-5000	10	20.8
5000-10000	8	16.7
OVER 10000	15	31.3
Not Reported	3	--
TOTAL	51	

Mean (Raw Data) = 14207

Median (Raw Data) = 4500

NUMBER OF OMBUDSMAN

<u>NUMBER OF OMBUDSMAN</u>	<u>NUMBER OF CASES</u>	<u>PERCENT OF CASES</u>
ONE	28	58.3
TWO	13	27.1
THREE - TEN	5	10.4
OVER 10	2	4.2
Not Reported	3	--
TOTAL	51	

Mean (Raw Data) = 2.4

Median (Raw Data) = 1.0

NUMBER OF EMPLOYEES PER OMBUDSMAN

<u>EMPLOYEES PER OMBUDSMAN</u>	<u>NUMBER OF CASES</u>	<u>PERCENT OF CASES</u>
UNDER 200 (/ OMBUD)	1	2.2
200 - 500	2	4.3
500 - 1,000	5	10.9
1,000 - 2,000	11	23.9
2,000 - 5,000	14	30.4
5,000 - 10,000	4	8.7
OVER 10,000	9	19.6
Not Reported	5	--
TOTAL	51	

Mean (Raw Data) = 8897.3

Median (Raw Data) = 3000.0

TABLE 2.
ACTIVITY LEVELS.

NUMBER OF CONTACTS IN A YEAR

<u>ACTIVITY LEVEL</u>	<u>NUMBER OF CASES</u>	<u>PERCENT</u>
UNDER 100	15	37.5
100 - 250	9	22.5
250 - 500	6	15.0
500 - 1000	7	17.5
OVER 1000	3	7.5
NOT REPORTED	11	--

Mean (Raw Data) = 344.6

Median (Raw Data) = 167.5

NUMBER OF CASES IN A YEAR

<u>ACTIVITY LEVEL</u>	<u>NUMBER OF CASES</u>	<u>PERCENT</u>
UNDER 100	14	29.8
100 - 250	17	36.2
250 - 500	9	19.1
500 - 1000	6	12.8
OVER 1000	1	2.1
NOT REPORTED	4	--

Mean (Raw Data) = 258.7

Median (Raw Data) = 150.0

TABLE 2., ACTIVITY LEVELS, Cont'd.

NUMBER OF CONTACTS PER OMBUDSMAN

<u>ACTIVITY LEVEL</u>	<u>NUMBER OF CASES</u>	<u>PERCENT</u>
UNDER 25 (/OMBUD)	8	20.5
26-50	9	23.1
51-100	2	5.1
101 - 300	10	25.6
301 - 500	5	12.8
501 - 1000	3	7.7
OVER 1000	2	5.1
NOT REPORTED	12	--

Mean (Raw Data) = 258.9

Median (Raw Data) = 140.0

NUMBER OF CASES PER OMBUDSMAN

<u>ACTIVITY LEVEL</u>	<u>NUMBER OF CASES</u>	<u>PERCENT</u>
UNDER 25 (/OMBUD)	10	22.2
26-50	5	11.1
51-100	5	11.1
101 - 300	21	46.7
301 - 500	4	8.9
NOT REPORTED	6	--

Mean (Raw Data) = 43.0

Median (Raw Data) = 40.0

TABLE 2., ACTIVITY LEVELS, Cont'd.

NUMBER OF CONTACTS PER 1,000 EMPLOYEES

<u>ACTIVITY LEVEL</u>	<u>NUMBER OF CASES</u>	<u>PERCENT</u>
UNDER 5 (/1,000)	5	12.5
5 - 10	7	17.5
10 - 20	2	5.0
20 - 50	8	20.0
50 - 100	6	15.0
100 - 200	8	20.0
OVER 200	4	10.0
NOT REPORTED	11	--

Mean (Raw Data) = 98.8

Median (Raw Data) = 42.3

NUMBER OF CASES PER 1,000 EMPLOYEES

<u>ACTIVITY LEVEL</u>	<u>NUMBER OF CASES</u>	<u>PERCENT</u>
UNDER 5 (/1,000)	8	17.0
5 - 10	5	10.6
10 - 20	5	10.6
20 - 50	16	34.0
50 - 100	8	17.0
100 - 200	2	4.3
OVER 200	3	6.4
NOT REPORTED	4	--

Mean (Raw Data) = 57.4

Median (Raw Data) = 30.0

TABLE 3.
OMBUDSMAN BUDGET LEVELS.

REPORTED OMBUDSMAN BUDGETS

<u>BUDGET LEVEL</u>	<u>NUMBER OF CASES</u>	<u>PERCENT</u>
UNDER \$10K	1	2.8
\$10 - \$49K	5	13.9
\$50 - \$99K	4	11.1
\$100 - \$499K	22	61.1
\$500K OR MORE	4	11.1
NO REPORT	15	--

Mean (Raw Data) = \$209.7K

Median (Raw Data) = \$193.5K

BUDGET PER OMBUDSMAN

<u>BUDGET LEVEL</u>	<u>NUMBER OF CASES</u>	<u>PERCENT</u>
UNDER \$25,000	3	8.3
\$26-50,000	6	16.7
\$51-100,000	13	36.1
\$101 - 300,000	11	30.6
\$301 - 500,000	2	5.6
\$501 - 1,000,000	1	2.8
NO REPORT	15	--

Mean (Raw Data) = \$138.1K

Median (Raw Data) = \$100.0K

BUDGET PER EMPLOYEE

<u>BUDGET LEVEL</u>	<u>NUMBER OF CASES</u>	<u>PERCENT</u>
UNDER 1 CENT	9	25.7
1 - 2 CENTS	6	17.1
2 - 3 CENTS	5	14.3
3 - 5 CENTS	3	8.6
5 - 10 CENTS	5	14.3
OVER 10 CENTS	7	20.0
NO REPORT	16	--

Mean (Raw Data) = .047

Median (Raw Data) = .024

TABLE 4.
 COMBINED CASE/CONTACT RATES PER 1,000 EMPLOYEES,
 SEPARATE AND AGGREGATED ISSUE AREAS, 1989 SURVEY.

SECTION A - DISCRIMINATION INDICES -- RATES PER 1,000 EMPLOYEES

	<u>MEDIAN</u> <u>RATE</u>	<u>AVERAGE</u> ¹
TERMINATION	1.3	
SEXUAL HARASSMENT	0.8	
RACIAL HARASSMENT	1.0	
SEX DISCRIMINATION	1.0	
RACE DISCRIMINATION	0.5	
REVERSE DISCRIMINATION	0.4	0.8
OTHER EEO	0.7	

50 per 10,000

SECTION B - CAREER/WORK CONCERNS INDICES -- RATES PER 1,000 EMPLOYEES

	<u>MEDIAN</u> <u>RATE</u>	<u>AVERAGE</u> ¹
HOURS OF WORK	1.3	
LOCATION OF WORK	0.9	
TRANSFER-JOB POSTING	1.8	
WORK ASSIGNMENT	2.7	
TERMINATION	1.6	
PROMOTION	1.9	
PERFORMANCE EVALUATION	2.5	
SALARIES AND BENEFITS	3.6	
UNFAIR-ILLEGAL BENEFIT ALLOCATION	0.7	
UNFAIR-ILLEGAL BENEFIT DENIAL	0.6	
SAFETY	0.5	1.6
OTHER WORK	7.2	

SECTION C - PERSONAL HEALTH INDICES -- RATES PER 1,000 EMPLOYEES

	<u>MEDIAN</u> <u>RATE</u>	<u>AVERAGE</u> ¹
HEALTH	0.7	
AIDS	0.4	
DRUGS	0.2	
ALCOHOL	0.4	
SMOKING	1.0	0.6
OTHER HEALTH	5.9	

SECTION D - INTERPERSONAL/EMOTIONAL INDICES -- RATES PER 1,000 EMPLOYEE

	<u>MEDIAN</u> <u>RATE</u>	<u>AVERAGE</u> ¹
SUBORD - SUPERVISOR	6.6	
EMOTIONAL PROBLEMS	0.4	
MEANNESS	1.3	
DANGEROUS COWRKR-SUBORD	0.5	2.2
OTHER INTERPERSONAL	7.4	

¹Averages do not include the values for the "Other" category.

TABLE 4, Cont'd. COMBINED CASE/CONTACT RATES PER 1,000 EMPLOYEES.

SECTION E - ETHICS INDICES -- RATES PER 1,000 EMPLOYEES

	<u>MEDIAN</u> <u>RATE</u>	<u>AVERAGE</u> ¹
THEFT	0.2	
COMPING	0.2	
FINANCIAL WRONGDOING	0.3	
FRAUD	0.3	
LEAK	0.2	
SPECS	0.2	
RECORDS	0.3	
MISUSE	0.3	
SHODDY	0.4	0.3
OTHER ETHICAL ISSUES	1.1	

20 per 10,000

SECTION F - MISC. INDICES -- RATES PER 1,000 EMPLOYEES

	<u>MEDIAN</u> <u>RATE</u>	<u>AVERAGE</u> ¹
SUGGESTIONS	2.7	
PRIVACY	0.6	
DRUG TESTING	0.1	
NEPOTISM	1.0	
ENVIRONMENTAL HAZARDS	0.6	1.0
OTHER MISC	0.4	

SUMMARY

	<u>AVERAGE</u> ¹
DISCRIMINATION	0.8
CAREER/WORK	1.6
HEALTH	0.6
INTERPERSONAL/EMOTIONAL	2.2
ETHICS	0.3
MISC.	1.0

¹Averages do not include the values for the "Other" category.

TABLE 5.

PROPORTIONS OF TIME SPENT ON VARIOUS WORK ACTIVITIES.

<u>ACTIVITY</u>	<u>AVERAGE PERCENT TIME SPENT</u> ¹
COUNSELING & COMPLAINT HANDLING	48 %
MGT ADVISING AND CONSULTING	16
EDUCATION	7
ADMINISTRATION	9
OTHER	11

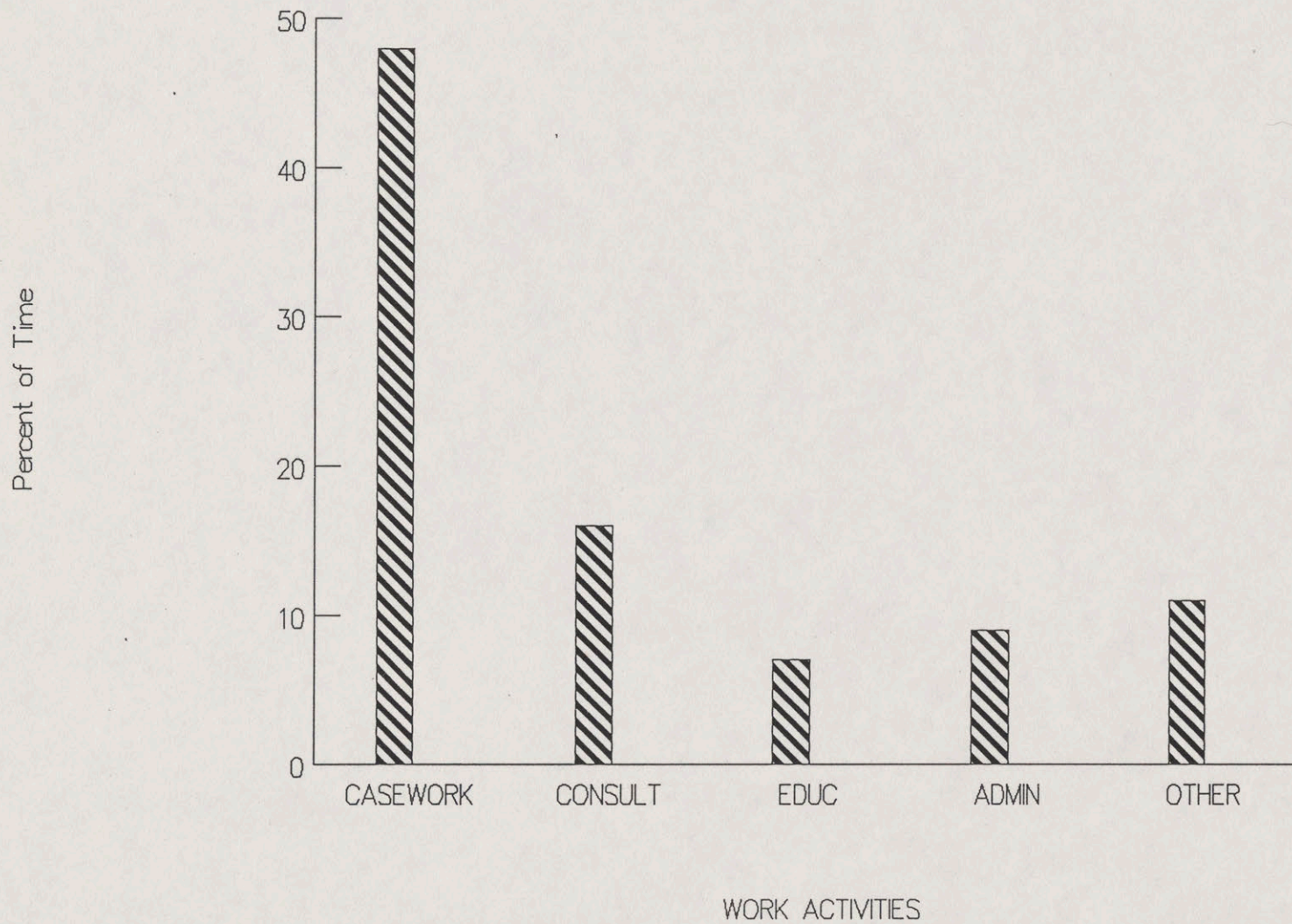
¹Averages do not add to 100 % because of erratic patterns of non-response.

TABLE 6.
RANKINGS OF OMBUDSMAN APPROACHES AND TECHNIQUES.

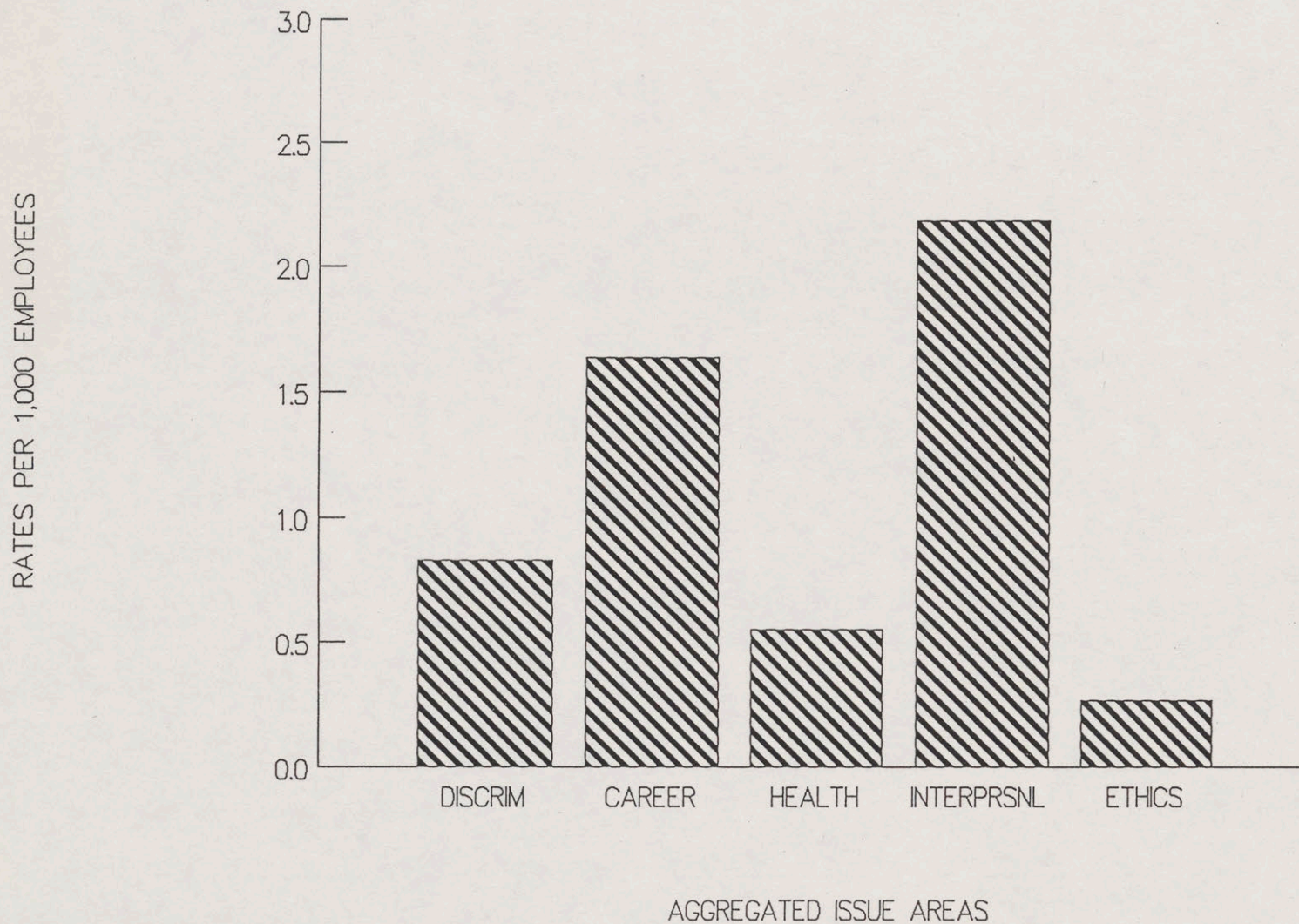
<u>APPROACH/TECHNIQUE</u>	<u>MEAN</u>	<u>MEDIAN</u>
ACTIVE LISTENING	4.6	5
GIVING HEARING TO FEELINGS	4.0	4
DEVELOPING OPTIONS	3.9	4
FACT FINDING	3.6	4
UPWARD FEEDBACK	3.3	3
MAKING RECOMMENDATIONS	3.0	3
COACHING	2.9	3
IMMEDIATE REFERRAL	2.7	2
SHUTTLE DIPLOMACY	2.6	2
TURNING CASE OVER TO OTHERS	2.3	2
GENERIC INTERVENTION	2.3	2
INFORMAL MEDIATION	1.8	2
CODIFICATION	1.4	1
ARBITRATION/ADJUDICATION	1.3	1

PROPORTIONS OF TIME SPENT

AT VARIOUS ACTIVITIES



CASE/CONTACT RATES PER 1,000 EMPLOYEES,
AGGREGATED ISSUE AREAS, 1989 SURVEY.





Department of Distinctive Collections
Massachusetts Institute of Technology
77 Massachusetts Avenue
Cambridge, MA 02139-4307

libraries.mit.edu



The remaining contents of this folder have been redacted.

If you would like to see the full folder, please email the

Department of Distinctive Collections at

distinctive-collections@mit.edu