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The Ombudsman Association curriculum  
development committee materials

1991-1995

The  
**Ombudsman**

A S S O C I A T I O N

**FACSIMILE TRANSMITTAL FORM**

To: MARY P. ROWE

Facsimile Number: 617-253-8544

From: VINCENT J. RILEY, EXECUTIVE OFFICER

Number of pages following this cover: 1

Date: 2/28/94

Comment(s)

2/28/94

Now that we have had the successful experience of our first "Winter" session of Ombudsman 101, I propose that the following be addressed during our next Board Conference call (March 15):

Do we intend to have a winter session of OMB 101 in Jan/Feb 1995? Assuming the answer is "yes", inputs are needed now on when and where it should be held, so we can begin checking out space and availability. At the very least, advice is needed on any personally objectionable ("no-no") places or times. I'm assuming it will be someplace warm/mild in the west or south, e.g. California (say where); Arizona; South Texas; Florida. An early start also would facilitate advance publicity, something we lacked this time.

Vince  
Also, the hotel contract for the July 1994 session of OMB 101 has been signed. (You'll find details in the attached draft of the non-program side of brochure). VJR

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To Mary P. Rowe	From Mary G. Simon
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TER VI  
IN ASSOCIATION

### 6.1 History

In the beginning there were seven people who shared a vision, a small group who wanted to provide an association for other private sector ombudsmen. Spearheaded by Lee Robbins, Wharton School of Finance and Dr. Mary Rowe, Massachusetts Institute of Technology, the vision became a reality in 1982 in the President's Conference Room at MIT with the participation and support of Martha Maselko of AT&T, Michael Baker of the Educational Fund for Individual Rights, Fred Olsen of Control Data, Clarence Williams, of MIT, and Chris McEachern of Anheuser-Busch.

These founders of the Corporate Ombudsman Association (COA) recognized that their mission was (a) to define the role of corporate ombudsmen who operate under a variety of functions and titles, (b) bring them together under one "umbrella", (c) create a forum for the purpose of expanding knowledge, enhancing skills, sharing approaches to common problems, and (d) provide an opportunity for networking.

Following this initial meeting, the founders undertook the challenge of locating other private sector ombudsmen and initiating the first Corporate Ombudsman Association Conference in Falmouth, Massachusetts with thirty attendees, in 1984.

The COA came together formally in 1985, and adopted a set of By-Laws to govern its operations. Mary Rowe (MIT), served as the association's first President with Chris McEachern (Anheuser-Busch) and Martha Maselko, (Bell Labs) serving as Vice Presidents. The original board of directors included Jim Lakis (Polaroid), Lee Pledger (Digital) and Carole Trocchio (Southland).

In 1986 COA was incorporated in the Commonwealth of Massachusetts. Additional board members were welcomed: Virgil Marti, McDonnell Douglas; James Hendry, World Bank; Catherine I. Buckler, General Electric; and Lewis Redding, MIT/Lincoln Laboratory.

### 6.2 Goals of the Association

The primary purpose of COA is that of providing a forum for exchanging experiences and ideas among practitioners. Over the past few years the goals of the association have been articulated more fully and in the first newsletter "Ombudsman News", published in the fall of 1985 the association's purpose and goals were set forth:

- (1) enhance the quality and value of the ombudsman function to business and industry;
- (2) establish appropriate standards of excellence for the profession;
- (3) develop and disseminate ethical guidelines for the profession;

- (4) establish methods to assess the development of the ombudsman function;
- (5) develop a framework of responsibilities;
- (6) develop a network to share common interests and strengthen skills

COA was instrumental in developing the building blocks which gave shape and identity to the emerging profession of ombudsman, dedicated to helping its members expand their knowledge and expertise in this very specialized area. There was a need for practitioners to establish standards and guidelines which make this possible. The association has exercised a leadership role in this respect, and in a variety of ways, seeks to weave the experience of its membership through the fabric of the profession.

### The Ombudsman Handbook

In 1987 a Corporate Ombudsman Handbook was compiled by Jim Hendry, Ombudsman of the World Bank, and presented to the membership. The Handbook includes the Code of Ethics for the COA, the value of an ombudsman, setting up an ombudsman office, record-keeping, and other valuable information. In 1993 the handbook was updated to reflect changes in the profession.

### The Ombudsman Association (TOA)

As the membership of COA grew, so did the diversity of its membership and in 1992 the members requested that the name of the association be changed to The Ombudsman Association (TOA) to better reflect the variety of ombudsman functions currently represented by the association. Today, The Ombudsman Association serves ombudsmen who provide their services to employees, students, faculty, patients, franchisees, and customers.

## 6.3 Board Committees

The main avenues through which the association pursues its program is through a number of specialized board committees. By and large, these are made up of directors of the board, but other members of the association participate in committees where their specialized knowledge would be particularly valuable. The board committees usually chart out a program for the period between annual conferences, and report on interim progress at full meetings of the board, at least twice a year. The annual conference provides the opportunity to meet with, and report to, the membership at large.

### Communications Committee

This committee (formerly known as the Steering Committee) has been responsible for establishing the criteria for membership in the association. The steering committee is also concerned with the by-laws, recommending change as required. Finally, the steering committee

membership

is expected to oversee the preparation of association newsletters and pamphlets, and to involve itself in matters that relate to the continuity and well being of the association.

#### Conference Planning Committee

Members of this committee are primarily concerned with planning the annual conference. This includes scheduling meetings, selecting the site, arranging for sponsorship and working with the host corporation, developing the agenda and preparing and distributing materials that will be needed. Members include representatives of the organization which will serve as sponsor for the conference.

#### Membership Committee

Also known as the "outreach committee", this group has a very significant role in terms of the association's goals. Originally, the COA grew out of a need for people to learn from one another's experiences, and this committee is charged with bringing information about the association and its activities to the attention of others in the field of ombudsmanship. The committee members review methods in which this can be accomplished most readily.

#### Research Committee

Given the expansion of the ombudsman concept in a variety of environments, it is important to have an active research program that can collect and assess the detailed, empirical data that accumulates out of North America. There is so little known with any assurance about the dimensions of ombudsmanship that any association which purports to promote this field of activity and to guide its development must have accurate information. The purpose of the research committee is twofold: to identify the priorities for research as directed by the board and to develop sources of funding for the research. Closely related to the research function, and also under the purview of the committee on research is the association's interest in developing a collection of case studies. These are now used at the annual conference as a device to stimulate discussion and thinking about particularly pressing issues, and have proven most effective in this respect.

#### Nominating Committee

Members of this committee identify association members who are qualified to serve on the board of directors and express an interest in doing so. When there is an opening on the board, the nominating committee contacts interested members and presents their names to the board for consideration.

#### 6.4 The Annual Conference

The association's annual conference provides members with a major opportunity to visit with others in the field, to learn what has been happening in areas of particular interest, and to contribute their own insights and experience. The annual conference is also the primary means

for TOA to pursue the goals cited earlier and its structure and content are designed with that focus.

- **Confidentiality** From the beginning, these conferences have operated under an important ground-rule -- namely, those who attend the conferences agree not to use the name of any colleague or organization without explicit permission of that colleague or organization. Further, the attendees agree not to discuss specific problems within an organization outside their profession.
- **Format/Agenda** The annual conferences take place over two full days of meetings with members attending all sessions. Small discussion groups take place to examine a case study which then reconvene and report to the body as a whole. The final session is typically devoted to association business and a look ahead to the next conference and to future activities of TOA.

As much as possible, current issues facing ombudsmen are discussed. Past agenda items have included: cultural diversity, community unrest, AIDS, employment-at-will, ethics, violence in the workplace, duty to warn, and sexual harassment. As the membership becomes more diverse with a broader ombudsman client-base the agenda will reflect and address such ombudsman needs.

**Conference Locations**

1982 - MIT	
1984 Cape Cod (Falmouth) Ma.	(no corporate host)
1985 Dallas, Tx.	The Southland Corporation
1986 St. Louis, Mo.	Anheuser-Busch/McDonnell Douglas
1987 Marina del Rey, Ca.	General Telephone of California
1988 Cambridge, Ma.	Digital Equipment Corporation
1989 Raleigh, N.C.	North Carolina Department of Transportation
1990 Hershey, Pa.	Pennsylvania Blue Shield
1991 Minneapolis, Mn.	Control Data Corporation
1992 Cincinnati, Oh.	← General Electric
1993 San Francisco, Ca.	Federal Reserve Bank/Pacific Bell Telephone
1994 Chicago, Il.	(no host at this writing)
1995 New Orleans, La.	(tentatively set)

*ATTN of AB & MIT?*

Attendance has grown from the modest beginning of thirty to more than one hundred attendees each year.

**6.5 ~~Ombuds 101~~ (OMBUDSMAN TRAINING)**

In 1991 The Ombudsman Association developed, and made available, the first formal training program for new ombudsman. This program, entitled "Ombuds 101" is a comprehensive program that focuses on the basic skills necessary for the ombudsman to be

effective in a variety of environments.

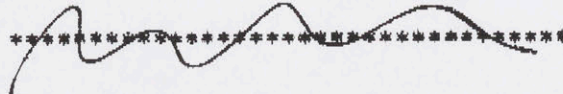
The instructors are tenured and experienced ombudsman, members of TOA, who volunteer their time and expertise to train new ombudsman in a variety of skills, including neutral listening, problem solving, confidentiality, handling diversity in the workplace, and the like.

6.6 TOA as a Resource

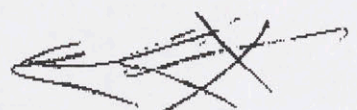
Finally, The Ombudsman Association is a resource to all ombudsman who desire information on any aspect of the ombudsman function. Members from coast to coast make themselves available to discuss unusual situations with another ombudsman, exploring alternatives, and sharing ideas in a confidential manner. Ombudsman recognize the isolation inherent in the profession and welcome the ability to discuss specific cases in absolute confidence.

Numerous articles have been compiled by TOA including case studies, articles on ombudsman "burn out", confidentiality, "whistle blowing", cost-effectiveness, building a dispute resolution system. education, and the like. These articles are available to members of TOA upon request.

During the past ten years TOA has been effective in establishing the profession of ombudsman as a valuable resource for individuals and organizations, and in providing its members with information and support. *See Appendix "C" for "Sourcey Help".*



*"B"*  
\*See Appendix *"B"* and *"C"* for ~~other~~ listings.



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The  
*Ombudsman*

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A S S O C I A T I O N

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*Announcing*  
**Ombudsman 101**

**February 22-24, 1994**

Sheraton  
at Fisherman's Wharf  
HOTEL  
SAN FRANCISCO

A training and development seminar  
designed and sponsored by  
The Ombudsman Association





## About The Ombudsman Association (TOA)

TOA adopted its present name in January 1992, to reflect the diversity of the organizations whose ombudsmen constitute the membership. From 1982 through 1991, its name had been the Corporate Ombudsman Association. The founders of the Association had sought to provide work place practitioners a forum where experiences and knowledge could be shared, and where all who participated could come away with improved skills and a strong sense of comradeship and support. It has become an association dedicated to helping its members to grow and learn in the specialized fields in which ombudsmen function today. Members of TOA recognize that their jobs are unique and present unique problems.

Important issues undertaken by TOA include researching a shield law to protect the ombudsperson from being forced to testify in formal grievance processes, helping members develop and improve negotiation skills, addressing issues of diversity in the workplace and sharing case studies to strengthen problem solving skills.

## The Course

A primer on how to be an ombudsman conducted by practicing ombudsmen.

## Who Should Attend

Recently appointed ombudsmen, men and women interested in becoming ombudsmen, anyone desiring to establish an ombudsman function or working as an ombudsman in industry, federal or state government, colleges and universities, public or private social service agencies.

Attendance will be limited to a maximum of 40 people.

## The Topics

- Background information... a history of ombudsmenry, scope and duties of today's ombudsman, descriptions of alternative forms of dispute resolution.
- Confidentiality... why it is needed, how to maintain it, the ombudsman's duty to warn, privileged communications.
- Interviewing and inquiring... techniques for gathering information.
- Relevant Employment Laws...capsule summaries of key legislation affecting the workplace.
- Operating an Ombudsman's Office...staffing,budgeting, logging concerns, learning to follow up, using toll-free 800 numbers, keeping notes and files.
- Marketing...tips on advertising your function to your client base, observing and reporting trends, gaining and keeping managerial support.

## Plus

Intense training sessions on developing reflective listening skills and learning how to influence others without having formal authority.

## Instructors

**Ombudsman 101** has been designed by practicing ombudsmen for ombudsmen. Its faculty includes men and women from leading businesses and institutions in the United States, including:

**Thomas A. Bolden, Jr.**, ombudsman  
AT&T Transtech, Jacksonville, Fl.

**Tom Furtado**, corporate ombudsman  
United Technologies Corporation, Hartford, CT.

**Virgil M. Marti**, retired vice president and ombudsman  
McDonnell Douglas Aircraft Company, St. Louis, Mo.

**Janet L. Newcomb-Briggs**, senior principal specialist -  
ombudsman Douglas Aircraft Company  
McDonnell Douglas Corporation, Long Beach, Ca.

**Mary P. Rowe**, special assistant to the president and  
adjunct professor  
MIT, Cambridge, Ma.

**Joan M. Schultz**, ombudsman and manager, DIALOG  
United Technologies Automotive, Dearborn, Mi.

**Mary Simon**, ombudsperson  
AT&T, North Andover, Ma.

**Carole Trocchio**, ombudsman/mediator  
Carole M. Trocchio Associates, Dallas, Tx.

**Marsha L. Wagner** ombudsman  
Columbia University, New York, NY

### Welcome and Introductions:

**Vincent J. Riley**, retired ombudsman, The World Bank  
Executive Director - The Ombudsman Association

## Ombudsman 101 Registration Form

Please reserve a place at Ombudsman 101 for:

Name \_\_\_\_\_ Title \_\_\_\_\_

Organization \_\_\_\_\_

Street \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Telephone ( ) \_\_\_\_\_ Fax ( ) \_\_\_\_\_

Registration fee is enclosed. (Please make checks payable to The Ombudsman Association [U.S. Dollars])

Mail to: Vincent J. Riley, Executive Officer  
The Ombudsman Association  
P.O. Box 7700  
Arlington, VA 22207

**Registration and Fee must be received by February 7, 1994**  
**(TOA's Federal Tax ID #: 06-1221115)**

## Schedule and Meals

The conference begins with registration and continental breakfast at 8:30 on February 22nd and concludes at noon on February 24th. Sessions will end at approximately 5 p.m. on the 22nd and 23rd.

Lunch will be served on the first two days of the conference and a continental breakfast will be available all three days. Dinner arrangements will be left to the discretion of attendees.

## Cost

Registration fee for **Ombudsman 101** is \$590, payable by February 7th to The Ombudsman Association. The fee includes meeting materials, three continental breakfasts and two lunches. It does **not** include hotel room and travel expenses.

Cancellation refunds: 100% on or before February 7th with written notice to The Ombudsman Association. A partial refund of 50% will be granted for cancellations received after February 22nd. Substitutes may be made for registrants at any time.

The Ombudsman Association reserves the right to cancel the seminar and would refund all money under such circumstances regardless of date.

## Hotel

Arrangements have been made with the Sheraton at Fisherman's Wharf Hotel in San Francisco to set aside a block of rooms for attendees of **Ombudsman 101** at the rate of \$96 per day (single or double). The deadline for reserving a room at this rate is January 31, 1994. Please make reservations directly by calling (415)362-5500 and requesting the Ombudsman Association Group Rate.

## Columbia University in the City of New York | New York, N.Y. 10027

659 Schermerhorn Extension  
Telephone (212) 854-1234  
FAX (212) 932-3712

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To Carole Trocchio	From Marsha Wagner	
Co.	Co.	
Dept.	Phone #	
Fax #	Fax #	

November 22, 1995

To: Site Planning Committee  
Cc: Curriculum Development Committee

From: Marsha Wagner *MW*  
Chair, Curriculum Development Committee

Subj: Schedule for Ombuds 101 - Ombuds 202

At the St. Louis Board meeting, the Curriculum Development Committee was assigned the task of determining the approximate dates and locations of Ombuds 101 and 202 sessions for the next few years, and passing on these recommendations to the newly formed Site Planning Committee (Shirley, Vince, Lou, Ella, Gene and Elizabeth) that would then select the best possible hotels or conference centers in those locations at those times, and reserve the guest rooms, meeting rooms, etc.

The Board also decided that due to heavy demand, Ombuds 101 will be offered four times a year and Ombuds 202 will be offered twice yearly. However, when the Curriculum Development Committee met to discuss the schedule, Carole Trocchio said that with all her other heavy responsibilities, she does not have the time to manage the preparations for four 101s each year, and the Committee thus discussed a set schedule of three sessions of 101 per year with an open consideration that a fourth could be added, annually, each August. Since then, Carole has come up with some creative solutions, we have considered some alternative possible plans for TOA to hire someone else to assemble manuals and take care of other time-consuming preparation tasks, so it now appears that it will be feasible to offer 101 four times a year, according to the Board decision.

I attach the plan that the Curriculum Development Committee agreed on during its November 14 teleconference. One of its shortcomings is that it recommended only three and not four 101s per year. But I am concerned about other possible shortcomings. Since I chaired the teleconference, I take full responsibility for the flaws that I perceived afterwards in the plan that we reached by consensus. In a spirit of belated self-criticism, I offer the following after-thoughts:

\*We did not adhere to a principle of continuity. It seems to me that it is helpful to planners and instructors to be familiar with a particular city and conference site,

## OMBUDS 101 AND 202

## POSSIBLE SCHEDULE

Feb. 12-14, 1996	San Francisco	Ombuds 101
Feb. 14-16, 1996	San Francisco	Ombuds 202
Early June, 1996	Boston (2nd choice, Chicago)	Ombuds 101
Early August, 1996	TBA	
Mid-October, 1996	Baltimore	Ombuds 101 Ombuds 202
Mid-February, 1997	Phoenix (2nd choice, San Fran)	Ombuds 101 Ombuds 202
Early June, 1997	Denver (2nd choice, Chicago)	Ombuds 101 Ombuds 202
Early August, 1997	TBA (if demand exists)	Ombuds 101
Mid-October, 1997	Atlanta	Ombuds 101
Mid-February, 1998	San Francisco	Ombuds 101 Ombuds 202
Early June, 1998	Boston	Ombuds 101
Early August, 1998	TBA (if demand exists)	Ombuds 101
Mid-October, 1998	Baltimore	Ombuds 101 Ombuds 202
Mid-February, 1999	Los Angeles	Ombuds 101
Early June, 1999	Denver	Ombuds 101
Early August, 1999	TBA (if demand exists)	Ombuds 101
Mid-October, 1999	Nashville	Ombuds 101 Ombuds 202

### Factors CDC Took Into Consideration

Planning principles: February and October and June-August are convenient times for the Executive Officer, dovetailing with other major annual TOA activities. Planning for each offering of Ombuds 101 is a 60-day process (gathering instructors' materials, confirming participants' registration, etc.), but for some participants the budget planning, time scheduling and travel booking are best made 6 months or more in advance. It is helpful to know, at the time of registration for each session of 101, when and where the next upcoming offering will take place. Publishing the schedule at least a year in advance would be very helpful to many in various ways.

Both 101 and 202 should be offered in alternating regions of the country. When 101 is offered alone, it could be scheduled for Monday morning through Wednesday noon, or Wednesday morning through Friday noon; when it is offered with 202, it must be Monday morning through Wednesday noon, and 202 will always be scheduled for Wednesday morning through Friday afternoon.

Scheduling courses in any Canadian location is problematic because we teach to US legal conditions, and it could be confusing or inappropriate to be teaching US law only (we are not prepared to teach Canadian law) within Canada.

Most convenient are cities that are major airport hubs, and the committee eliminated consideration of several cities served primarily by only one airline or that are otherwise hard to get to. CDC emphasized cities that are pleasant or interesting, not too expensive, and well served by airlines.

There is general consensus that the Back Bay Hilton in Boston (which is eager to arrange another contract with TOA) and Fisherman's Wharf Sheraton are appropriate and satisfactory sites that we could willingly return to.





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