

Annual Report

2016

INTERNATIONAL OMBUDSMAN ASSOCIATION



INTERNATIONAL  
OMBUDSMAN  
ASSOCIATION

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**2016 IOA BOARD OF DIRECTORS**

**Officers**

*President:*

**Mauricio Ramos, CO-OP**  
Sandia National Laboratories  
Term: 2015–2018

*Vice President:*

**Ilene Butensky, CO-OP**  
Eaton Corporation  
Term: 2015–2018

*Secretary:*

**Nancy Deering, CO-OP**  
Newark Public Schools  
Term: 2015–2018

*Treasurer:*

**Janet Hill**  
KBR, Inc.  
Term: 2015–2017

*Assistant Treasurer:*

**Teresa Ralicki**  
University of Colorado Denver  
Term: 2015–2018

**Directors**

**David Carver**  
University of Nebraska Medical Center  
Term: 2016–2019

**Steven Cordery**  
United Technologies Corporation  
Term: 2015–2018

**Anamaris Cousins-Price**  
Halliburton  
Term: 2014–2016

**Kerry Egdorf**  
Marquette University  
Term: 2015–2017

**Charmhee Kim**  
McKinsey & Company  
Term: 2015–2017

**Bruce MacAllister**  
International Foundation for Online Responsibility (IFFOR)  
Term: 2016–2019

**José Martínez-Aragón, CO-OP**  
World Health Organization  
Term: 2016–2019

**Marvin Neal, CO-OP**  
The Coca-Cola Company  
(retired at end of 2016)

**Lois Petzold, CO-OP**  
International Monetary Fund  
Term: 2014–2016

**R. Ellen Schreiber**  
Term: 2014–2016

**Guy Weber, CO-OP**  
National Geospatial-Intelligence Agency  
Term: 2016

# Letter from the President

## MAURICIO RAMOS, CO-OP



To all my colleagues that are a part of the International Ombudsman Association:

Greetings! I'm proud to present to you the Annual Report for 2016. The purpose of the Annual Report

is to give the members and other stakeholders of IOA a sense of what we've accomplished this past year.

But before we jump into the Annual Report and the **What** has been accomplished by our Committees and Task Forces it is useful to revisit what drives IOA. In other words, the **Why** behind our actions. Quite often organizations and individuals get caught up on the many projects and tasks that take up our energy and so we sometimes forget to step back and see the big picture and assess whether or not we are on course to our destination. (A summary of our Strategic Plan from 2014–2018 is on page 5.)

IOA's Vision is to lead the global organizational ombudsman profession by setting the standard for excellence in practice and demonstrating the effectiveness of the Organizational Ombudsman role to organizational leaders, policy makers, other professions and associations and the public.

Our Mission is more focused on **How** we'll get to our destination. The mission of the International Ombudsman Association is to support and advance the global organizational ombudsman profession and ensure that practitioners work to the highest professional standards by:

- ▶ Setting standards of practice, regulatory platform and code of ethics for the organizational ombudsman profession;
- ▶ Assisting in the establishment of organizational ombudsman offices;
- ▶ Providing excellent professional development resources, research and information;
- ▶ Increasing awareness and understanding of organizational ombudsman value among key stakeholders and the general public;
- ▶ Creating strategic alliances or direct communications with other key organizations and professionals involved in dispute resolution, governance, ethics and risk mitigation.

What the above Vision and Mission boil down to is about *supporting our members and advancing the profession*. It is in that spirit that much of the work that you'll read about in the pages to follow has been done.

As you read through these accomplishments you might feel inspired to join a specific committee or be part of a project and so I encourage you to reach out to committee or task force leaders and ask about joining our endeavors.

With appreciation,

Reese Ramos, CO-OP  
IOA Board President  
2016–2017

# Letter from the Executive Director

## DID YOU KNOW?

*The International Ombudsman Association (IOA) was officially formed in July 2005 following the merger of the University and College Ombuds Association (UCOA) and The Ombudsman Association (TOA). IOA is the largest international association of professional ombudsmen practitioners in the world.*

- ▶ Instructors of the April 2016 Foundations of Organizational Ombudsman Practice course in Seattle enjoy an open Q&A session with attendees at the conclusion of the 3-day event.

## RICK KOEPKE



2016 was a year of achievement for IOA in a number of areas. These successes were the result of the combined efforts of the IOA Board, IOA members serving on committees and task forces, volunteers offering their time as content presenters as part of the Annual Conference and Professional Development program, and IOA staff employed by Kellen, IOA's association management company.

- ▶ IOA ran a significant financial surplus in 2016 and implemented a new investment management plan to make the best use of IOA's financial assets.
- ▶ The IOA Annual Conference in 2016 in Seattle was the best attended ever.
- ▶ At a special meeting of the Association in September 2016, IOA members approved a set of amendments to the IOA bylaws which redefined the classifications and eligibility of IOA membership, as well as modifying the criteria to serve on the IOA Board.
- ▶ IOA offered the Foundations course and other Professional Development Programs four times in 2016 in widely-disbursed locations throughout the United States.
- ▶ IOA provided financial support to the Regional Advisory Committees to offer educational programming and networking opportunities in Puerto Rico and South Africa.
- ▶ IOA supported the conduct of a new job analysis process overseen by the CO-OP Board that will result in a new version of the certification exam.

- ▶ A new Practice and Compensation Survey was undertaken, the results to be published in 2017.
- ▶ IOA provided guidance to members and others regarding Title IX and guidance issued by the U.S. Department of Education with respect to the Clery Act as they relate to the role of ombudsman.
- ▶ Efforts were continued toward implementation of a refreshed and revitalized IOA website, as well as a new global marketing initiative.
- ▶ The IOA Board voted to establish a new Ethics and Professional Standards Task Force charged to review and make recommendations to the IOA Board regarding the IOA Code of Ethics and Standards of Practice.
- ▶ Opportunities to volunteer for IOA activities were made more visible and easier to access.
- ▶ IOA established a strategic partnership with the American Bar Association's Ombudsman Committee to focus on shared areas of interest.

It has been exciting to be a part of IOA's progress toward accomplishing its strategic plan, even as the IOA Board looks forward to focusing on a revised set of priority objectives for 2017 and 2018. While we continue to focus on improving the efficiency and effectiveness of IOA's current programs, services and operations, we undertake new efforts to position IOA to better meet the needs of the organizational ombudsman profession as well as those who already do and would, in the future, benefit from the presence of an organizational ombudsman in their organization.

Rick Koepke  
IOA Executive Director



# IOA Strategic Plan

## PRIORITIES FOR 2016–17

### Conference

- ▶ Conduct a high quality annual IOA Conference each year.

### SOPs/COEs

- ▶ Continue to support, promote and reinforce the *Standards of Practice, Code of Ethics* and best practices; provide tools to support organizational ombudsman practitioners in their daily practice.

### Global

- ▶ Develop a strategy at the Board and Committee levels to ensure coordination for the global advancement of IOA's *Mission* and *Vision*.
- ▶ Improve membership recruitment and retention globally in order to promote the growth of the organizational ombudsman profession.
- ▶ Evaluate global opportunities, sustainable development and growth of organizational ombudsman offices.
- ▶ Be the premier source for information and professional development on organizational ombudsman matters globally.
- ▶ Develop a global marketing and public relations strategy.

### Structure

- ▶ Evaluate and make recommendations regarding Board structure and need for an Executive Director.

### Volunteers

- ▶ Enhance and develop the pool of volunteers who can contribute to the IOA in various roles; assist CO-OP in doing the same.
  - Articulate pathways to volunteer opportunities within IOA;
  - Identify meaningful incentives for volunteer participation;
  - Acknowledge and reward current leaders within the organization.

### Service and Revenue Growth

- ▶ Consider the implications of providing broader course offerings and partnerships:
  - Evaluate and make a recommendation on possible partnerships with other organizations globally and determine criteria for such partnership arrangements, including demand-driven training requests that result from outreach efforts;
  - Determine whether there is a benefit/need for additional venues;
  - Determine whether there is an opportunity for additional audiences;
  - Assess the financial needs and benefits of conferences and trainings outside of North America.
- ▶ Explore the possibility and feasibility of IOA offering additional revenue-generating fee-based services, above and beyond the professional development, conferences and CO-OP®.
- ▶ Create and implement a comprehensive revenue generating campaign.

### Research

- ▶ Promote existing and new research regarding the organizational ombuds field.

### Outreach

- ▶ Build relationships with external audiences and organizations; foster an understanding of the role and value of the organizational ombudsman among key stakeholders, including professional associations, regulatory bodies, organizational decision makers, and the general public.

### Policy

- ▶ Support statutory protections for organizational ombuds.

## MAJOR GOALS OF THE STRATEGIC PLAN

### Goal 1:

#### Further IOA's Vision, Mission and Values

- ▶ Continue, enhance and advance the IOA's capacity and capability to carry out its mission and vision and deliver high-quality services that relate to the organization's shared purpose to support organizational ombuds.

### Goal 2:

#### Assess and Improve IOA Operational Effectiveness

- ▶ Assess and improve the impact and effectiveness of IOA to ensure that the organization is operating in a capacity to deliver effective, consistent, and leading edge services to the membership and effectively fulfilling the mission of the organization.

### Goal 3:

#### Ensure Financial Sustainability and Growth of IOA

- ▶ Ensure IOA has the financial means to accomplish its goals through revenue generation and judicious use of resources.

### Goal 4:

#### Develop Stronger Presence and Outreach for IOA

- ▶ Conduct an outreach program to promote the understanding, visibility and development of organizational ombudsman roles and offices.

### Goal 5:

#### Influence Policy Making

- ▶ Utilize the strength, knowledge and contacts of the members to inform and encourage policy making.

# IOA Committee Reports

## COMMUNICATIONS COMMITTEE

### *Accomplishments in 2016*

- ▶ Reconstituted and reactivated IOA's Communications Committee after year-long hiatus
- ▶ Produced and disseminated four very substantive issues of *The Independent Voice* newsletter



- ▶ Initiated comprehensive analysis of current website and sought stakeholder input in preparation of website redesign process
- ▶ Provided recommendations to the IOA Board of Directors regarding the website redesign
- ▶ Successfully and enjoyably engaged Slack.com as a tool for effective committee collaboration



- ▶ Continued to increase IOA's social media outreach (Twitter, Facebook, LinkedIn)

### *Priorities for 2017*

The Communications Committee is currently accepting new members.

Priorities for 2017 include:

- ▶ Continue to expand and strengthen the committee
- ▶ Complete the website redesign process
- ▶ Continue producing high-quality issues of *The Independent Voice*
- ▶ Assess and improve IOA's email strategy
- ▶ Expand use of social media across IOA
- ▶ Collaborate with and support the efforts of the Global Marketing Task Force and the Strategic Alliances/Partnership Task Force

### *Committee Members*

*Chair:*

**Mary Conger**

*Special Advisor:*

**Tom Ward, CO-OP**, Clemson University

*IOA Board Liaison:*

**Marvin Neal, CO-OP**, The Coca-Cola Company

*Finance Committee Liaison:*

**Victoria Dowd**, University of North Carolina — Chapel Hill

*Members:*

**Stylianos Karvelas**, National Bank of Greece

**Michael Mayer**, Baker Hughes

**Jennifer Schneider**, University of South Florida

**Janie Tanner**, The Virtual Ombuds, LLC

**Lynn Wallace**

*IOA Staff:*

**Jill Hronek**, Communications Director

**Erin Kenny**, Marketing Communications Manager

# IOA Committee Reports

## *JOURNAL OF THE INTERNATIONAL OMBUDSMAN ASSOCIATION (JIOA)*

### ***Accomplishments in 2016***

The 2016 year has been a reflective and transitional one for the *Journal*. The Editorial Board has changed as new members have been welcomed and former members ended their service. The *Journal* has continued to receive and review submissions, thanks to many committed authors and peer-reviewers. In March 2016, *JIOA* also branched into social media with a Twitter account, @ombudsjournal.

Whereas historically the *JIOA* has been published in biannual issues, the Editorial Board has elected to shift the production model going forward. The goal is to deliver valuable content to readers in a more timely and continuous fashion, in keeping with larger trends in how online content is published and consumed. Even so, all published *JIOA* content will be collected in biannual digital compendia for ease of reference and archival purposes.

### ***Priorities for 2017***

*JIOA* priorities for 2017 include publishing more high quality, diverse content; continuing to encourage, support, and develop authors; and to expand the publication pipeline through outreach and training opportunities (including a session on Academic Writing at the Annual Conference in Minneapolis). The Editorial Board is also eager to make *Journal* content more interactive, helping foster dynamic and on-going conversation about matters pertinent to the global ombuds profession.

### ***Committee Members***

#### *Co-Editors:*

**Shannon Lynn Burton**, Michigan State University  
(Appointed in 2017)

**Howard Gadlin**, National Institutes of Health,  
(retired)

#### *Editorial Board Members:*

**Robert Harris**, Federal Deposit Insurance Corporation (FDIC)

**Steve Madden**, Coastal Carolina University

**Deniz Ogretir**, International Committee of the Red Cross (ICRC)

**Tom Ward, CO-OP**, Clemson University

**Emma Williams**, University of Washington

#### *Production Assistant:*

**Mary Conger**, independent

#### *Editorial Board Advisor:*

**Larry Cohen**, Yale University School of Medicine

#### *IOA Board Liaison:*

**Charmhee Kim**, McKinsey & Company

#### *Finance Committee Liaison:*

**Jan Morse**, University of Minnesota

#### *IOA Staff:*

**Jill Hronek**, Communications Director

# IOA Committee Reports

## DID YOU KNOW?

### Conference Locations:

2017	Minneapolis
2016	Seattle
2015	Atlanta
2014	Denver
2013	Miami
2012	Houston
2011	Portland, OR
2010	New Orleans
2009	Montreal
2008	Boston
2007	St. Louis
2006	San Diego

- Wayne Blair, keynote speaker at the 2016 annual conference in Seattle



## CONFERENCE COMMITTEE

### Accomplishments in 2016

With assistance from IOA staff, the Conference Committee is responsible for selecting the host city and site for the annual conference, and then planning and successfully staging the conference. Our goal is to provide quality educational programming and to set the table for attendees to generate memorable experiences and make lasting connections with ombuds colleagues.

In April 2016 the Conference Committee presented an excellent annual conference in Seattle, Washington. The conference set a record for attendees, at 402 conference registrants, and yielded a substantial sum to the IOA general budget. The committee had been charged with staging a conference at a reduced budget, as well as making a monetary return to our organization. Both of those goals were met.

The conference was highlighted by keynote speeches from author and conflict resolution specialist Bernie Mayer, the Mary Rowe Honorary Keynote Address speaker Wayne Blair, and the venerable Howard Gadlin. The Seattle conference unveiled a new plenary concept, The Undebate, in which a panel of experienced ombuds explored relevant issues. Additionally, the Seattle conference featured thirty-five concurrent programming sessions, two plenary presentations and four pre-conference workshops.

In 2016, an on-site welcome reception was held and conference-goers took advantage of the time and beautiful Seattle weather to enjoy the hospitality of the Emerald City; some attended a Seattle Mariners' baseball game or shopped at nearby Pike Place Market and most attendees enjoyed the one or more of the many fine restaurants near the Westin Hotel. Our budgetary challenges are always greeted by the flexibility, understanding and creative aptitude of our attendees.

### Conference Committee members for the 2016 annual conference in Seattle were:

#### Co-chairs:

**Marcia Riley**, University of California, Berkeley  
**Lisa Neale, CO-OP**, University of Colorado Denver  
**Kevin Coonrod, CO-OP**, Auburn University

#### Members:

**Gloria Carr**, University of Memphis  
**Larry Cohen**, Yale University  
**Patricia Currier**, NASA  
**Nancy Deering, CO-OP**, Newark Public Schools  
**Mindy Eaves**, Jefferson County Public Schools, Kentucky  
**Kerry Egdorf**, Marquette University  
**Marina Estrada**, Centennial Care Ombudsman  
**Arianna Gazis**, Baker Hughes  
**Mark Greene**, State of California  
**Sunny Lee**, University of California, Berkeley  
**Brittany Linton**, University of Texas at Austin  
**Ryan Liu**, Alumnus, Pepperdine University  
**Zetu Mekamandela-Mguqulwa, CO-OP**, University of Capetown  
**David Michael**, National Institutes of Health  
**Ramey Miller**, formerly, University of California, Santa Barbara  
**Melinda Miner**, Halliburton  
**Karen Peterson**, The Fred Hutchinson Center  
**Teresa Ralicki**, University of Colorado Denver  
**Nick Raichart**, University of California, San Diego  
**Chuck Sloane**, University of Washington  
**Michael Steinberg**, University of California, Santa Barbara  
**Shreya Trivedi, CO-OP**, University of Central Florida  
**Joan Waters, CO-OP**, Columbia University  
**Merle Waxman**, Yale University  
**Emma Williams**, University of Washington  
**Lisa Witzler**, National Institutes of Health

#### IOA Board Liaison:

**Teresa Ralicki**, University of Colorado Denver

#### Finance Committee Liaison:

**David Michael**, National Institutes of Health

#### IOA Staff:

**Liz Freyn**, Conference Director  
**Erin Kenny**, Marketing Manager  
**Jill Hronek**, Communications Director  
**Gabrielle Jacobson**, Administrative Director  
**Chris Viglione**, Conference Administrator

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# IOA Committee Reports

## CONFERENCE COMMITTEE (CONTINUED)

### Priorities for 2017

We are looking forward to another stimulating conference at the Minneapolis Marriott City Center from April 21–26. In addition to continuing The Undebate, instituted last year, we are planning a World Café, in which the conference members will meet in groups to discuss relevant ombuds topics. We are fortunate and pleased to present keynote speakers Laura vanDerNoot Lipsky, MSW, The Mary Rowe Honorary Keynote Address speaker Ilene Butensky, CO-OP, and Lorealeigh Keashly, PhD.

Budgetary issues again pose a challenge for the annual conference this year, but with the assistance and enthusiasm of our Minneapolis committee members, we have come up with a variety of creative solutions. We have arranged to combine our normal welcome reception with an event just two blocks from our home base hotel, which will take place at the Prohibition Room in the famous Foshay building. It's a great place for attendees to take in the beautiful views of downtown Minneapolis.

We will be providing coffee service in the mornings, but breakfasts and one lunch this year will be on our own. A map of breakfast restaurants within four blocks of the Marriott will be provided, and we are hoping our experienced conference goers will take this opportunity to invite new attendees or someone you might not know well to share a meal together. This year we are designating Ombuds Ambassadors to introduce new attendees to our ombuds, and believe these outside meals will provide an excellent opportunity for all conference goers to serve as an ambassador in their own right.

The programming remains outstanding and the opportunities to supplement our normal networking activities will be limited only by our conference attendees' imagination and enthusiasm in exploring the Twin Cities. For these reasons we are looking forward to an invigorating, educational, enjoyable and memorable 12<sup>th</sup> Annual Conference.

### Conference Committee members for the 2017 annual conference in Minneapolis are:

#### Co-chairs:

**Patty Currier**, NASA

**Kevin Coonrod**, CO-OP, Auburn University

#### Members:

**Crystal Brakke**, CO-OP, Teach for America

**Gloria Carr**, University of Memphis

**Larry Cohen**, Yale University

**Mary Conger**, Independent

**Mindy Eaves**, Jefferson County Public Schools, Kentucky

**Kerry Egdorf**, Marquette University

**Francisco Espejo**, CEPAL

**Marina Estrada**, Centennial Care Ombudsman

**Wendy Friede**, CO-OP, Friede Coaching and Consulting

**Caitlan Hendrickson**, University of Arizona

**Ryan Liu**, Alumnus, Pepperdine University

**Tammy Harman**, LEOFF

**Sana Manjeshwar**, CO-OP, Chevron

**Ramey Miller**, formerly, University of California, Santa Barbara

**Melinda Miner**, Halliburton

**Jan Morse**, University of Minnesota

**Teresa Ralicki**, University of Colorado Denver

**Nick Raichart**, University of California, San Diego

**Michael Steinberg**, University of California, Santa Barbara

**Shreya Trivedi**, CO-OP, University of Central Florida

**Joan Waters**, CO-OP, Columbia University

**Merle Waxman**, Yale University

#### IOA Board Liaison:

**Teresa Ralicki**, University of Colorado Denver

#### Finance Committee Liaison:

**David Michael**, National Institutes of Health

#### IOA Staff:

**Chris Viglione**, Conference Director

**Jill Hronek**, Communications Director

**Gabrielle Jacobson**, Administrative Director

**Amy Metzgar**, Conference Administrator

- ▶ Conference-goers in Seattle enjoy some networking time at the Welcome Reception



**12th Annual Conference**  
April 24 – 26, 2017

Professional Development Courses &  
Specialty Workshops: April 21 – 23, 2017

Minneapolis Marriott City Center \* Minneapolis, Minnesota USA





**Committee Members**

Chair and IOA Treasurer:

**Janet Hill**, KBR, Inc.

Assistant Treasurer:

**Teresa Ralicki**, University of Colorado Denver

Members:

**Wayne Blair**, University of North Carolina at Chapel Hill

**Ilene Butensky, CO-OP**, Eaton Corporation

**Glenda Dickson**, Clemson University

**Victoria Dowd**, University of North Carolina at Chapel Hill

**Melanie Jagneaux, CO-OP**, Baker Hughes

**David Michael**, National Institutes of Health

**Jan Morse**, University of Minnesota

**Jennifer Moumneh, CO-OP**, University of California, Irvine

**Jackie Osborne, CO-OP**, Chevron Corporation

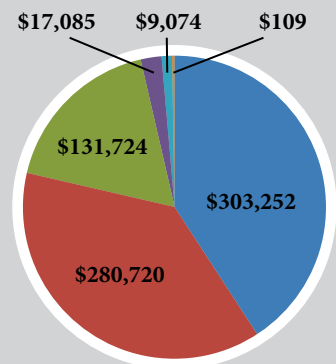
**Gary Yamashita, CO-OP**, Chevron Corporation, (retired)

IOA Staff:

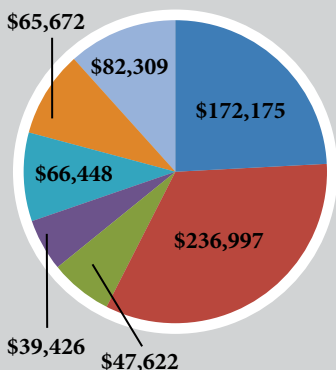
**Rick Koepke**, Executive Director

**Lysa Robinson**, Controller

**Income 2016** (as of 12/31/16)



**Expenses 2016** (as of 12/31/16)



# IOA Committee Reports

## FINANCE COMMITTEE

### Accomplishments in 2016

- ▶ Oversaw the successful audit of IOA accounts and records for 2015 by Barnes, Givens & Barnes — completed 2016
- ▶ Worked with IOA staff and board to make recommendations on budgeting and managing IOA funds
- ▶ Established IOA investment fund, 3<sup>rd</sup> quarter 2016
- ▶ Now have eight liaisons in place to share information and work with key committee co-chairs on budget and financial matters
- ▶ Continued work revising IOA financial policies

### Priorities for 2017

- ▶ Continue review of IOA policies and required revisions
- ▶ Complete strategic financial review and recommendations, resulting in Strategic Financial Plan and Vision for IOA
- ▶ Ongoing review of monthly financial statements, investments, and communication of concerns and highlights to the IOA board

## 2016 FINANCIAL SUMMARY (UNAUDITED)

Our December financial statements showed that IOA had a good year in 2016, allowing us to focus on growth and outreach initiatives, which can be costly.

- ▶ Total revenues were \$741,964, which is \$20,169 more than in 2015
- ▶ Total expenses were \$710,649, which is \$760 more than in 2015
- ▶ 2016 Net Income was \$31,315, which is \$19,409 more than in 2015, and \$58,056 better than the amount forecasted for 2016
- ▶ The 2016 conference in Seattle was a huge success — a net gain of \$43,723 (exceeding both budget and the previous year's totals)
- ▶ PDC also did well in 2016 — exceeding their budget but coming in less than last year's totals due to planned courses that did not occur.

In the 2016 annual meeting, it was announced that IOA ended 2015 with a small deficit, but after all numbers were audited, we learned that there was actually a small net gain for the year due to some restructuring of cost.

IOA's total net assets as of 12/31/16 are \$671,404, which is an increase of \$31,315 from 2015's total of \$640,089. Currently, IOA has \$357,738 in an investment account with Merrill Lynch.

Income	2016	2015	change
Professional Development	\$303,252	\$312,421	(\$9,169)
Annual Conference	\$280,720	\$273,492	\$7,228
Membership	\$131,724	\$111,939	\$19,785
Certification	\$17,085	\$20,131	(\$3,046)
General & Administration	\$9,074	\$3,742	\$5,332
Communications	\$109	\$70	\$39
<b>Total:</b>	<b>\$741,964</b>	<b>\$721,795</b>	<b>\$20,169</b>

Expenses	2016	2015	change
Professional Development	\$172,175	\$172,387	(\$212)
Annual Conference	\$236,997	\$257,772	(\$20,775)
Membership	\$47,622	\$45,633	\$1,989
Certification	\$39,426	\$9,283	\$30,143
General & Administration	\$66,448	\$59,478	\$6,970
Communications	\$65,672	\$59,826	\$5,846
Leadership	\$82,309	\$105,510	(\$23,201)
<b>Total:</b>	<b>\$710,649</b>	<b>\$709,889</b>	<b>\$760</b>
<b>Net Gain/Loss:</b>	<b>\$31,315</b>	<b>\$11,906</b>	<b>\$19,409</b>

Net	2016	2015	change
Professional Development	\$131,077	\$140,034	(\$8,957)
Annual Conference	\$43,723	\$15,720	\$28,003
Membership	\$84,102	\$66,306	\$17,796
Certification	(\$22,341)	\$10,848	(\$33,189)
General & Administration	(\$57,374)	(\$55,736)	(\$1,638)
Communications	(\$65,563)	(\$59,756)	(\$5,807)
Leadership	(\$82,309)	(\$105,510)	\$23,201

# IOA Committee Reports

## INTERNATIONAL OUTREACH COMMITTEE

### Accomplishments in 2016

The IOC has been contributing to the activities of the Global Marketing Task Force. To develop a better understanding of the ombudsman practice at the international level, a database with information about ombudsman offices and related offices based in Asia and the Pacific region, Latin America and the Caribbean, and Africa was developed. This data was added to a similar database from Europe developed by the National Bank of Greece Ombudsman's Office.

IOA Scholarships were awarded to Khairul Anuar of the Universiti Sains Malaysia, Pejabat, Perundangan; and Fred Wright, Department of Environment, Land, Water and Planning Level, Melbourne, Australia.

The Regional Advisory Committees (RACs) organized the following activities:

- ▶ **Asia Pacific:** Fred Wright, ombudsman for the Department of Environment, Land, Water and Planning, Australia and Sophia Qiao, CO-OP, regional ombudsman for Pfizer Inc. were elected as the Co-Chairs for Asia Pacific RAC in June 2016. An internal survey showed that the main reason for RAC members joining the group were networking, knowledge sharing, development of the profession, and educational/training opportunities. They have scheduled a RAC meeting in July 2017.
- ▶ **Africa:** South African Higher Education Ombuds Indaba. The call for free higher education via “#feesmustfall” has turned into a complex national crisis leaving academic ombudsmen unsure sometimes of their roles or drawn into work that is not theirs to do. On 11 November 2016 the IOA IOC financially supported a national workshop to address the ensuing questions: Can there be certainty and clear parameters at the time of crisis? What is the risk? What's mine (ombudsman) to do at a time like this?” A lively and interactive discussion ensued on the varied nature of roles ombudsmen can play in the height of conflict: Ombudsing from the South African context; Improved delivery of dispute resolution services; The importance of mediation and coaching skills; Impartiality in context; The ROI (return on investment) of the impact of ombudsing at universities. Mandated from this workshop, Zetu Makamandela-Mguqulwa, CO-OP, met with Chief Mabizela from the Department of Higher Education and Training, who is responsible for the development and implementation of higher education policies in South Africa, including ombudsing, to further emphasize the need for organisational ombudsmen on all campuses. Three campuses have since visited Zetu to offer advice on

setting up ombudsman offices and outlined training needs.

Global Pound Conference (GPC). Conflict Dynamics, a large mediation training body based in South Africa but training across Africa is a partner in hosting the Pound Conference in July 2017. Zetu Makamandela-Mguqulwa, CO-OP, as IOA RAC Chair was invited to be part of the (LOC) Local Organizing Committee. Ombudsing was added as part of the focus areas for the forthcoming Pound Conference in Johannesburg.

- ▶ **Europe:** On 17–18 March 2016 the group met in Athens, Greece, and were kindly hosted by The National Bank of Greece Group. Fourteen people discussed the following topics: *Delivering value to the NBG, The Ombudsman Role, Redefining the Ombudsman Function, Wind Beneath our Wings.*

The event was addressed by Dimitris Pavlakis, the Hellenic Ombudsman for Banking and Investment Services (HOBIS) who in his capacity as the Chairman of the E-Ben Hellas (European Business Ethics Network Hellas) Ambassadors Club advocated for the value of ethics in business transactions and Dimitra Triantafyllou, LLM, Mediator, Trainer of Mediators and CiARB Arbitrator who proposed alternative ways of delivering value to the organization.

During the event the NBG Ombudsman, Konstantina Vitoratou, presented aspects of her practice and shared some thoughts about the possible effect of the evolving ADR landscape in the EU on the ombuds function. Workshops were held following each presentation and participants seized the opportunity to delve into deep meaningful discussions on how best to increase the ombuds function's ROI and promote its role in the organizational and corporate sectors.

On 6–7 October 2016 the group met in Berlin, Germany, and were kindly hosted by Transparency International. Thirteen people discussed the following topics: *Presentation by Transparency International (TI), The internal mediation system of the German Foreign Office, Ombudsman Function at TI, Diversity in European/International Ombudsman Roles, Listening and asking the right questions, Self-Improvement (communities of practice, knowledge management, communication).*

## DID YOU KNOW?

*Regional Advisory Committees (RACs) were developed to integrate organizational ombudsmen at a regional level with a view toward enhancing interest in and respect for the ombuds profession, and serving as a resource for its members. The RACs were designed to serve as a conduit of information and mutual support between the IOA and current international members in order to promote the profession, to monitor legislation and regulations, and to identify viable partners who could assist in the growth of the profession. Members of RACs are not required to be members of IOA, although membership is strongly encouraged.*

- ▶ Members of the Europe RAC meet in Greece



*continued on next page*

# IOA Committee Reports

## INTERNATIONAL OUTREACH COMMITTEE (CONTINUED)

► **Latin America and the Caribbean:** During 2016, the members of the LAC RAC have participated in talks on topics of common interest such as: Impact of harassment in the workplace, Best practices for running the Office of the Ombudsman, History of Brazilian Association of Ombudsmen (ABO), among others. A high achievement was the successful 1<sup>st</sup> Regional Conference of the Ombudsman held in Puerto Rico, October 12–13, 2016. The conference was supported financially by the IOA. Dr. Leoncio Lara, Professor of the Law's Faculty of the National Autonomous University of Mexico UNAM presented the History and the Evolution of the Ombudsman role. Dra. Mildred Negron, Professor of the Law's School of University of Puerto Rico and the Master's Program in Law of the Law's Faculty of the Inter-American University of Puerto Rico presented "Emotional Intelligence as a tool for the Ombudsman role." Dolores Gómez-Morán, CO-OP, Ombudsman from Pan American Health Organization (PAHO)/World Health Organization (WHO) in Washington, DC, covered: "Promoting the value of respect in our organizations". Francisco Espejo, Ombudsman & Mediation Services United Nations, located in Santiago, Chile, presented "Using empathic conversations in the work place."

Finally, Gennette Tripari, CO-OP, ombudsman for Eaton in Puerto Rico, resigned her role as chair after a very successful tenure. José Ignacio González, Ombudsman for the Catholic University of Chile, has been elected as the new chair.

### Priorities for 2017

- Support the development of the IOA Global Marketing Plan
- Support the adaptation of IOA training to contexts beyond the U.S. and Canada
- Support the RACs work in advancing the profession through contacting recently appointed ombudsman, relevant associations, networks, and organizations in priority countries

► Members of the Latin American RAC



### Committee Members

*Chair:*

**Francisco Espejo**, UNOMS, Chile

*Members:*

**Camilo Azcarate**, World Bank, U.S.,  
*Strategic Planning*

**John Barkat**, United Nations, U.S.,  
*Strategic Planning*

**Doris Campos-Infantino**, Interamerican Development Bank, U.S., *Membership/ Board member*

**Steven Cordery**, United Technologies, UK,  
*Strategic Outreach / RAC EU*

**Zetu Makamandela-Mguqulwa, CO-OP**, University of Cape Town, South Africa

**José Martínez-Aragón, CO-OP**, United Nations, Switzerland, *PDC*

**Dolores Gómez-Morán, CO-OP**, Pan American Health Organization, U.S.

**Sophia Qiao, CO-OP**, Pfizer, Inc., China

**Indumati Sen**, International Baccalaureate, U.S.,  
*Board member*

**Noriko Tada, CO-OP**, Eisai, Co., Ltd., Japan

**Gennette Tripari, CO-OP**, Eaton, Puerto Rico,  
*LAC RAC Chair*

**Konstantina (Dina) Vitoratou**, National Bank of Greece, Greece

*RAC Chairs:*

**Steven Cordery**, United Technologies, UK,  
*Europe RAC*

**Zetu Makamandela-Mguqulwa, CO-OP**, University of Cape Town, South Africa, *Africa RAC*

**Sophia Qiao, CO-OP**, Pfizer, Inc., China,  
*Asia Pacific RAC*

**Gennette Tripari, CO-OP**, Eaton, Puerto Rico,  
*Latin American and the Caribbean RAC*

**Fred Wright**, Department of Environment, Land, Water & Planning, Australia, *Asia Pacific RAC*

*IOA Board Liaison:*

**José Martínez-Aragón, CO-OP**, United Nations, Switzerland

*Finance Committee Liaison:*

**Wayne Blair**, University of North Carolina at Chapel Hill

*IOA Staff:*

**Rick Koepke**, Executive Director

**Gabrielle Jacobson**, Administrative Director

# IOA Committee Reports

## MEMBERSHIP COMMITTEE

### *Accomplishments in 2016*

- ▶ Surveyed 2016 members and nonmembers who did not renew in 2015 to identify opportunities for improvement
- ▶ Surveyed 2016 nonmember conference attendees to identify interests in IOA
- ▶ Created new process for identifying new ombuds as potential members of IOA
- ▶ Provided welcome and orientation materials to new members
- ▶ Served as an information resource for members and potential members
- ▶ Monitored membership numbers and trends
- ▶ Collaborated with Mentoring Committee for the New Member and First Time Conference Attendee events at the annual conference

### *Priorities for 2017*

- ▶ Enhance welcome and orientation materials for new members
- ▶ Enhance outreach and retention efforts based on new membership guidelines

### *Committee Members*

#### *Co-chairs:*

**Mindy Eaves**, Jefferson County Public Schools

**Kerry Egdorf**, Marquette University

**Ellen Schreiber**, (retired)

#### *Members:*

**Beatriz Dale, CO-OP**, American Express

**Elisa Enriquez, CO-OP**, Los Alamos National Laboratory

**Patricia Pinkard**, University of West Georgia

#### *IOA Board Liaisons:*

**Ellen Schreiber**, 2016 Board Liaison

**Kerry Egdorf**, Board Liaison (replacing Ellen Schreiber)

#### *Finance Committee Liaison:*

**Glenda Dickson**, Clemson University

#### *IOA Staff:*

**Gabrielle Jacobson**, Administrative Director

**Rita Wallace**, Customer Service Specialist

## IOA MEMBER COUNTRIES IN 2016

- ▶ Australia
- ▶ Austria
- ▶ Bahrain
- ▶ Brazil
- ▶ Canada
- ▶ Chile
- ▶ China
- ▶ Congo
- ▶ Côte d'Ivoire
- ▶ Denmark
- ▶ France
- ▶ Germany
- ▶ Greece
- ▶ Hungary
- ▶ India
- ▶ Ireland
- ▶ Italy
- ▶ Japan
- ▶ Kenya
- ▶ Korea, Republic of
- ▶ Malaysia
- ▶ Marshall Islands
- ▶ Netherlands
- ▶ New Zealand
- ▶ Nigeria
- ▶ Pakistan
- ▶ Philippines
- ▶ Puerto Rico
- ▶ Romania
- ▶ South Africa
- ▶ Switzerland
- ▶ United Kingdom
- ▶ United States

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## DID YOU KNOW?

*IOA had 744 members in 2016.*

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INTERNATIONAL  
**OMBUDSMAN**  
 ASSOCIATION

# IOA Committee Reports

## DID YOU KNOW?

*The IOA Mentoring Committee made 8 matches between mentors and mentees in 2016.*

## MENTORING COMMITTEE

The mission of the Mentoring Committee is to make the transition to ombudsing a positive and rewarding experience by connecting a novice ombudsman with an experienced ombudsman. This personal relationship provides the new ombudsman an opportunity to have an ombudsman friend, to get assistance, and to discuss the profession.

### *Accomplishments in 2016*

- ▶ Continued to match seasoned ombuds as mentors to new IOA members as mentees for a one-year commitment
- ▶ Offered a session at the IOA annual conference providing scenarios to new ombuds and group discussions led by committee members
- ▶ Offered a private luncheon for new members, in collaboration with the IOA Membership Committee. This is one of the only opportunities available to new members to meet, interact and learn with other new members.
- ▶ Created “Mentor” and “Mentee” criteria to be used for determining appropriate matches

### *Priorities for 2017*

- ▶ Finalize steps needed for the Mentoring Application to be utilized
- ▶ Send e-mail to members regarding their interest in mentoring
- ▶ Offer another dedicated session at the 2017 IOA conference
- ▶ Co-host the New Member Luncheon with the Membership Committee
- ▶ Develop a packet of information for new mentors to assist in mentoring new members

## *Committee Members*

### *Co-chairs:*

**Melissa Connell, CO-OP**, University of Colorado Denver | Anschutz

**Dolores Gómez-Morán, CO-OP**, Pan-American Health Organization/World Health Organization

### *Members:*

**Lynne Chaillat**, McKinsey & Company

**Mary Beth Stevens, CO-OP**, Los Alamos National Laboratory

**Ronnie Thomson**, Halliburton

**Shreya Trivedi, CO-OP**, University of Central Florida

**Donna Douglass Williams, CO-OP**, MD Anderson Cancer Center

### *IOA Board Liaison:*

**Nancy Deering, CO-OP**, Newark Public Schools

### *IOA Staff:*

**Gabrielle Jacobson**, Administrative Director

# IOA Committee Reports

## NOMINATIONS AND ELECTIONS COMMITTEE

### *Accomplishments in 2016*

- ▶ The Nominations and Elections Committee performs two distinct tasks for the organization: managing the Board election and supervising the nomination of Distinguished Emeritus members. This year, the Board election process changed as a result of the Bylaws revisions approved by the membership in September 2016. Therefore, the Committee had the additional task of qualifying and vetting prospective Board candidates and submitting a proposed slate to the Board.
- ▶ This year, more than two dozen names were submitted as potential candidates for six open Board positions. From this pool, the NEC developed slate of seven nominees. The election was delayed from its typical time in the late fall to January when the new Bylaws became effective. The results of the Board election were not available when this report was prepared. New and re-elected Board members will begin their terms at the Board meeting held at the 2017 IOA Annual Conference.
- ▶ The NEC also received two nominations for the 2017 Distinguished Emeritus Award. These nominations were forwarded to the Board for consideration. An announcement about the recipients is expected at or before the annual conference. In 2016, the distinction was awarded to Howard Gadlin, Tom Sebok, and Albin Swenson.

### *Priorities for 2017*

The work of the Nominations and Elections Committee will be subsumed by a new committee in 2017: the Nominations and Governance Committee. The NGC, in addition to managing the Board election and Distinguished Emeritus nomination, will assist in the selection of Board officers and provide ongoing review and recommendations to enhance the quality and future viability of the Board. This includes making potential revisions to the IOA bylaws related to governance, as well as the annual selection of officers. Due to other commitments and length of service on NEC, current NEC members will not continue on as members of the NGC.

### *Committee Members*

#### *Chair:*

**Tom A. Kosakowski**, University of California, Los Angeles

#### *Members:*

**Jim Augustine**, University of South Carolina

**Jennifer Moumneh, CO-OP**, University of California, Irvine

**Jim Wohl, CO-OP**, University of Connecticut

#### *IOA Board Liaison:*

**Mauricio Ramos, CO-OP**, Sandia National Laboratories

#### *IOA Staff:*

**Gabrielle Jacobson**, Administrative Director

# IOA Committee Reports

## PROFESSIONAL DEVELOPMENT COMMITTEE

### Accomplishments in 2016

- ▶ The PDC continued to create and produce educational and engaging trainings that met the needs of members and nonmembers while generating significant revenue. Fourteen course offerings were attended by 316 participants and included four sessions of *Foundations of Ombudsman Practice*, four *Specialized Courses* and six *webinars*.
- ▶ A Needs Assessment Survey was initiated to explore needs and suggestions for future course offerings. The top three areas of overall interest were Coaching, Annual Reports and a tie between Change Management and Giving Feedback to the Organization. The top three areas considered to be critically important to members were Influencing Leadership, Coaching, and Adding Value to the Ombuds Office.
- ▶ PDC achieved IOA Board approval to execute a new *core course* solicitation process to create replicable courses and provide a stipend to the course developer. The courses form the basis of a curriculum for organizational ombuds and are based upon a set of knowledge domains derived from the 2008 Job Analysis. The course development process includes four steps: proposal submission, signed contract, completion of course (inclusive of materials and instructor guide), and finally, having the developer teach the first course offering.

### Priorities for 2017

- ▶ Rollout of the first core course *request for proposal* (RFP) and offer the first completed core course.
- ▶ Create Policy and Procedure Guides for each PDC subcommittee in an effort to memorialize the history and rationale for current processes being utilized.
- ▶ Refresh and update *Foundations of Organizational Ombudsman Practice*

### Committee Members

#### Co-chairs:

**Susan Casino**, Consultant, *Webinar Coordinator*

**Bradley Ginn**, CO-OP, Northeastern Illinois University, *Specialized Course Coordinator*

**Lee Twyman**, Rochester Institute of Technology, *Foundations Coordinator*

#### Members:

**Crystal Brakke**, CO-OP, Teach for America

**David Bremer**, Otis College of Art and Design, *Core Course Coordinator*

**Melissa H. Brodrick**, Harvard Medical School, *Core Course Coordinator*

**Wendy Friede**, CO-OP, Friede Consulting, *Conference Committee Liaison*

**Donna Jean Loudon**, National Renewable Energy Lab, *Foundations Coordinator*

**Judi Segall**, MIT

#### IOA Board Liaison:

**Nancy Deering**, CO-OP, Newark Public Schools

#### Finance Committee Liaisons:

**Jackie Osborne**, CO-OP, Chevron Corporation

**Gary Yamashita**, (retired)

#### IOA Staff:

**Rick Koepke**, Executive Director

**Kismet Saglam**, Education Director

**Gabrielle Jacobson**, Administrative Director

**Amy Metzgar**, Education Administrator

**Jill Hronek**, Communications Director

- ▶ Attendees of the 3-day Foundations of Organizational Ombudsman Practice course in Seattle in April 2016





# IOA Committee Reports

## RESEARCH & ASSESSMENT COMMITTEE

The Research & Assessment Committee (R&A) started in 2015 and formed three subcommittees: the Practice and Compensation Survey Subcommittee, the Clearinghouse Subcommittee and the Research Agenda Subcommittee.

### *Committee Members*

*Co-Chairs:*

**Shannon Lynn Burton**, Michigan State University

**Willem Kweens**, CO-OP, Mars, Inc.

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## CLEARINGHOUSE SUBCOMMITTEE

The Clearinghouse project is an ongoing project focused on creating an accessible portal where ombuds can find relevant ombuds-profession related material. The project wants to be compliant with the new IOA portal which is developed at the same time. This committee works closely together with the Communications Committee and the Global Marketing Task Force to align the ideas and future design of the portal which we hope to complete in 2017.

### *Top 3–5 accomplishments in 2016*

- ▶ The database currently contains 1200+ entries of all types of ombudsmen (classical, advocate, organizational, hybrid, compliance ombudsmen, mediators, arbitrators, etc.), in addition to ombudsman associations (i.e., IOI, ENOHE, Ombudsman Association UK & Ireland, etc.) in the worldwide context.
- ▶ We developed an internet portal which is available in demo/test mode.
- ▶ The Global Marketing Task Force (GMTF) was launched and began its work following the 2016 IOA conference, generating marketing and outreach ideas for IOA. Dina Vitoratou who is a member of this Task Force is leading a “mapping exercise” as one of the task force’s working projects with a clear correlation to the Clearinghouse project.

### *Priorities for 2017*

- ▶ Getting the cleaned-up mapping database ready and using this database as a source for IOA’s marketing and outreach activities. The goal is twofold: Increase IOA membership and build awareness of the OO function
- ▶ Coordination between several other IOA committees to make sure we are moving forward in a harmonized direction.
- ▶ Ultimately, the database should be built in the IOA website for use by its members.

### *Subcommittee Members*

*Subcommittee Co-Chairs:*

**Nikolai Pankratiev**, CO-OP, Mars, Inc.

**Dina Vitoratou**, National Bank of Greece

*Subcommittee Members:*

**Gloria Carr**, University of Memphis

**Kim Fulbright**, University of Cincinnati

**Debra Giambo**, Florida Gulf Coast University

**Stelios Karvelas**, National Bank of Greece

**Mary Rowe**, MIT

**Tyler Smith**, National Institutes of Health

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# IOA Committee Reports

## RESEARCH & ASSESSMENT COMMITTEE (CONTINUED)

### PRACTICE AND COMPENSATION SURVEY SUBCOMMITTEE

#### *Top 3–5 accomplishments in 2016*

- ▶ We have conducted the Practice and Compensation Survey
- ▶ We have analyzed the final results of the survey
- ▶ Preparing the Survey Report

#### *Priorities for 2017*

- ▶ Publishing the P&C Report in March/April 2017
- ▶ Running a session during the 2017 IOA Conference in Minneapolis to share some results

#### *Subcommittee Members*

*Subcommittee Co-Chairs:*

**Alicia Booker**

**Jennifer Schneider**, University of South Florida

*Subcommittee Members:*

**Timothy Hedeem**, Kennesaw State University

**Mary Rowe**, MIT

### RESEARCH AGENDA SUBCOMMITTEE

#### *Top 3–5 accomplishments in 2016*

- ▶ We developed an online survey to identify IOA members' research interests regarding the ombudsman.
- ▶ We conducted a pilot study in which we distributed the survey to IOA Research & Assessment Committee members as respondents, and then made small adjustments to the survey.
- ▶ We distributed the survey to all IOA members and received approximately 85 responses.

#### *Priorities for 2017*

- ▶ Analyze the qualitative data from the Research Interests Survey.
- ▶ Develop a follow-up quantitative survey if needed to identify research priorities.
- ▶ Use the survey results to inform an IOA research agenda.

#### *Subcommittee Members*

*Subcommittee Co-Chairs:*

**Shereen Bingham**, University of Nebraska at Omaha

**Tyler Smith**, National Institutes of Health

*Subcommittee Members:*

**Danita Elkerson**, Federal Bureau of Investigation

**Alan Lincoln**, (retired)

**Zach Ulrich**

# IOA Committee Reports

## VOLUNTEER COORDINATION COMMITTEE

### *Accomplishments in 2016*

- ▶ Followed up with all people who expressed interest in volunteering at the 2016 IOA Annual Conference and placed them with committees where possible
- ▶ Continued to create communications and marketing materials to meet the volunteer needs of various committees
- ▶ Expanded the platform in which we recruit volunteers to include IOA communities, social media and a web presence
- ▶ Partnered with Conference Committee to improve the volunteer luncheon and volunteer recruitment at the 2017 Conference
- ▶ Created a “one stop shop” document concisely describing each committee, in response to members feeling overwhelmed by the number of diverse committees
- ▶ Continued our *Independent Voice* series “Volunteer Spotlight” quarterly articles introducing IOA committee chairs and their valuable contributions to IOA

### *Priorities for 2017*

- ▶ Create a best practices document offering guidance in recognizing and motivating volunteers
- ▶ Improve marketing of committee description document to raise awareness about many committees of IOA and recruit volunteers
- ▶ Collaborate with the Communication Committee on the development of volunteer page for IOA website
- ▶ Continue to improve strategies for recruitment, retention and recognition of IOA volunteers

### *Committee Members*

#### *Chair:*

**Stephanie Luckam**, Transportation Security Administration

#### *Members:*

**Delicia Perdue**, Weatherford

**Shawn Hutchens, CO-OP**, University of California, Irvine

#### *IOA Board Liaison:*

**Steve Cordery**, United Technology Inc.

#### *IOA Staff:*

**Gabrielle Jacobson**, Administrative Director

## WANT TO VOLUNTEER?

IOA has opportunities for volunteers who can give 5 or 500 hours back to the association. Most committees and task forces accept new volunteers at any time throughout the year. If you are interested in assisting a committee or task force with the work they do, contact the specific committee chair (all committee chairs and members can be found on the IOA website) or IOA staff at [info@ombudsassociation.org](mailto:info@ombudsassociation.org) who can help match you up with a committee, task force or project needing assistance.

# CO-OP® Board and Committees

## Accomplishments in 2016

- ▶ 106 current CO-OP®-certified individuals
- ▶ 25 people took the CO-OP exam in 2016, with a 92% pass rate; 15 people were certified by CO-OP, 7 were denied.
- ▶ Six Certified Organizational Ombudsman Practitioners achieved recertification in 2016 and two YTD in 2017.
- ▶ No appeal cases in 2016 and one in 2017.
- ▶ No ethics violations were reported.
- ▶ The Board presented a proposal for Office Accreditation to the IOA Board of Directors in November 2016. A motion put forward in March 2017 was not passed.
- ▶ CO-OP expenses exceeded revenue in 2016 due to expenses related to new exam design.
- ▶ All CO-OP Committees completed new job descriptions.
- ▶ Completed Job Analysis (May 2016) for Ombudsman role resulting in new domains for revised CO-OP exam. Item Writing Workshop took place in March 2017. New exam will launch in October 2017.

## Priorities for 2017

- ▶ Launch new exam in October
- ▶ Launch office accreditation (if approved)
- ▶ Enhance communication and outreach by implementing the CO-OP Communication Plan

## THE BOARD OF CERTIFICATION FOR CERTIFIED ORGANIZATIONAL OMBUDSMAN PRACTITIONERS®

**Note:** This entity is not an IOA committee, but a division of the IOA with its own Board. Although the Board of Certification is a division of IOA, the Bylaws of the Board of Certification provide that the Board of Certification, not IOA or any other organization, has the sole discretion to manage and make all decisions relating to certification matters. Certification does not require membership in IOA, participation in IOA training, or attendance at IOA conferences.

### Board of Directors

**Wendy Friede, CO-OP**, Friede Consulting, *President*

**Melanie Jagneaux, CO-OP**, Baker Hughes, *Treasurer, Director*

**Terre Price, CO-OP**, Federal Deposit Insurance Corporation, *CO-OP Secretary, Non IOA-Director*

**David Rasch, CO-OP**, Stanford University, *CO-OP Director*

**Jennifer Moumneh, CO-OP**, University of California, Irvine, *CO-OP Director*

**Jan Martinez**, Stanford University, *Public Member*

**Ilene Butensky, CO-OP**, Eaton Corporation, *Board Liaison*

### CO-OP® Committees

#### Eligibility Committee:

**Sana Manjeshwar, CO-OP**, Chevron, *Outgoing Chair*

**Mollie Berg, CO-OP**, Department of Homeland Security, *Incoming Chair*

**Elaine Shaw, CO-OP**, Pfizer Inc.

**Kelley Alexander, CO-OP**, Georgia State University

**Brian Bloch, CO-OP**, Department of Interior

#### Professional Practices Committee:

**Scott Deyo, CO-OP**, National Parks Agency, *Chair*

**Suzanne Diviney, CO-OP**, Pfizer Inc.

**Ruthy Kohorn Rosenberg**, Brown University

**Vikram Kapoor**, Federal Emergency Management Agency

#### Appeals Committee:

**Tim Shore, CO-OP**, Pfizer Inc., *Chair*

**Jim Augustine**, University of South Carolina

**Dolores Gómez-Morán, CO-OP**, George Mason University

#### Communications Committee:

**Guy Weber, CO-OP**, National Geospatial Intelligence Agency, *Chair*

**Irene Sae Koo, CO-OP**, Los Angeles World Airports, *Outgoing*

#### Recertification Committee:

**G. Michael Kilpatrick, CO-OP**, Metropolitan State University of Denver, *Outgoing Chair*

**Elaine Shaw, CO-OP**, Pfizer Inc., *Incoming Chair*

**Ken Brown, CO-OP**, Royal Bank of Canada

**Josie Stiles, CO-OP**, Baker Hughes

#### Finance Committee:

**Jennifer Moumneh, CO-OP**, University of California, Irvine, *Outgoing Chair*

**Melanie Jagneaux, CO-OP**, Baker Hughes, *Incoming Chair*

**Catherine Langlois, CO-OP**, Georgetown University

**David Michael**, National Institutes of Health

#### Nominating Committee:

**David Rasch, CO-OP**, Stanford University, *Chair*

#### CO-OP Staff:

**Gabrielle Jacobson**, Administrative Director

**Rick Koepke**, Executive Director



# IOA Task Force and Initiative Reports

## GLOBAL MARKETING TASK FORCE

The Global Marketing Task Force was launched in May 2016 to help promote and drive major marketing initiatives, primarily through communication to members, the ombuds community at large, and prospective ombuds employers and contractors, which support and advance the mission and vision of the Association. The main responsibilities of this new task force will be to serve as advisors and as a sounding board to IOA staff working on the development and implementation of a global marketing and communications plan.

### Accomplishments in 2016

- ▶ Launched the task force in May with the goal to develop recommendations for the IOA board on a marketing and outreach plan to advance IOA's mission and vision globally.
- ▶ Met via conference call six times to collate and review marketing and outreach related ideas that had surfaced and been discussed in various forums at past conferences, sector meetings, regional meetings and committee discussions
- ▶ Brainstormed additional ideas for marketing initiatives and potential target audiences of IOA's outreach
- ▶ Liaised with Communications Committee, International Outreach Committees and the Strategic Alliances/Partnership Task Force to seek input on GMTF's work and to establish coordination and collaboration on our respective efforts which share certain overlapping agendas
- ▶ Identified priority areas for IOA's global marketing and outreach efforts

### Priorities for 2017

- ▶ Expand coordination and collaboration with standing committees, task forces and other working groups within and outside of IOA (e.g., Corporate Organizational Ombudsman Roundtable, ABA Ombuds Outreach Subcommittee) as the work continues on fleshing out and developing concrete recommendations on the priority ideas identified
- ▶ Deliver GMTF recommendations to the IOA board
- ▶ Assist IOA board with next steps
- ▶ Contemplate transfer from task force to Global Marketing Committee status

### Task Force Members

2016 Co-Chair:

**Jim Wohl, CO-OP**, University of Connecticut

2017 Chair & Board Liaison:

**Charmhee Kim**, McKinsey & Company

Members:

**Pia Beesley, CO-OP**, American Express

**Nick Diehl, CO-OP**, Asia Development Bank

**Francisco Espejo**, United Nations OMS

**Dolores Gómez-Morán, CO-OP**, PanAmerican Health Organization

**Melanie Jagneaux, CO-OP**, Baker Hughes

**Eric Mayo, CO-OP**, Chevron

**Jennifer Moumneh, CO-OP**, University of California, Irvine

**Dina Vitoratou**, National Bank of Greece

IOA Staff:

**Jill Hronek**, Communications Director

# IOA Task Force and Initiative Reports

## DID YOU KNOW?

*All of IOA's committee and task force co-chairs meet quarterly as a Leadership Group.*

*The purpose of the Leadership Group is to:*

- ▶ *Keep the lines of communication open between the Board of Directors, committees and task forces.*
- ▶ *Apprise the Board of projects and tasks the committees are working on and the type of support they may need.*
- ▶ *Develop and identify projects and tasks on which committees can collaborate.*

## LEADERSHIP GROUP

The goal of the Leadership Group is to provide a forum for collaboration with the IOA Board, committees, and task forces. The LG participants are the committee and task force co-chairs. The meetings are typically once per quarter and chaired by the IOA Vice President. Some topics for discussion in 2016 included:

- ▶ management company survey feedback and discussion,
- ▶ discussions of changes in membership categories,
- ▶ annual conference changes and updates,
- ▶ international outreach updates,
- ▶ website topics,
- ▶ CO-OP discussion of office accreditation,
- ▶ partnerships and alliances,
- ▶ research projects,
- ▶ professional development committee topics,
- ▶ Global Marketing Task Force updates,
- ▶ Title IX and Clery updates, and many other topics.

## Members

*Chair:*

**Ilene Butensky, CO-OP**, Eaton Corporation

*Members:*

Chairs and Co-Chairs of Committees and Task Forces, and IOA Board Members

# IOA Task Force and Initiative Reports

## MEMBERSHIP CATEGORIES TASK FORCE

### Accomplishments in 2016

The Membership Categories Task Force (MCTF) began its work in January 2015. In January 2016, the MCTF presented the IOA Board of Directors with a third version of recommendations regarding proposed revisions to the IOA bylaws regarding IOA membership categories and eligibility to serve on the IOA Board of Directors. At its January 2016 meeting, the IOA Board of Directors provided its approval to move forward with presenting the MCTF recommendations to the entire membership for review and comment.

Throughout the first half of 2016, the MCTF developed materials designed to outline the changes that were being proposed and the rationale for those changes. The Board held a Town Hall-style webinar in February 2016 to present the proposed changes to the membership and answer questions. During the Session with the Board at the IOA Annual Conference in Seattle in April, members of the Board of Directors presented to the IOA membership the proposed changes along with the results of various surveys and discussions that had previously occurred with the membership on this topic. During the Session with the Board, attendees were asked to provide feedback on several questions.

In response to the questions generated at the 2016 annual conference, the MCTF assisted the IOA Board in developing a communication to the IOA membership on August 1, 2016. In this communication, the IOA Board provided a final response to the concerns raised and informed membership that a Special Meeting of the Association would be convened for the purpose of voting on the proposed amendments to the bylaws.

The Special Meeting of the Association was scheduled for September 29, 2016, at the IOA Headquarters office in Illinois, USA. Provisions were put in place to allow members to vote both in person and via proxy and to attend the meeting either in person or via telephone. The meeting was held as scheduled. After determining that a quorum was reached according to the requirements of the IOA bylaws, the votes cast, both in person and by proxy, were tallied. A majority of those voting approved the amendments to the bylaws supporting the proposed changes in the membership categories and eligibility for service on the IOA Board.

The new membership categories as outlined below went into effect on January 1, 2017. The new provisions for the eligibility for service on the Board were put into place for the election of new IOA Board members that was to occur after January 1, 2017.

Its work having been completed, the Membership Categories Task Force ended its service in 2016.

### MEMBERSHIP CATEGORIES

The **IOA Bylaws** have established the following classifications of members:

#### *Member*

Any individual who agrees to support and advance the mission of the IOA and its Standards of Practice and Code of Ethics.

Members are entitled to vote on all matters that are presented to the Association, provided that they are current in their dues and other obligations to the Association.

#### *Student Affiliate Member*

A student who agrees to support and advance the mission of the IOA and its Standards of Practice and Code of Ethics.

Student Affiliate Members are not entitled to vote on matters that are presented to the Association.

#### *Retired Member*

A Retired Member is a person who has retired from the practice of ombudsmanry with a minimum of two years of service and was a member of IOA at the time of retirement. Retired Members are entitled to vote on all matters that are presented to the Association, provided that they are current in their dues and other obligations to the Association.

The Association may recognize certain Retired Members who have served the Association and/or profession with distinction with the honorary title of Distinguished Emeritus. The Board will accept nominations from members and will select the recipients for the Distinguished Emeritus title.

Retired Members honored with the title of Distinguished Emeritus maintain all the rights of International Ombudsman Association Bylaws Approved September 29, 2016, Page 2, Retired Members, but are not required to pay dues to the Association.

### Task Force Members

*Chair:*

**Belinda Newman**, University of North Texas

*Members:*

**Bonnie Bonnavier, CO-OP**, Baker Hughes

**R. Ken Brown, CO-OP**, Royal Bank of Canada

**Beatriz Dale, CO-OP**, American Express

**Sue Diviney, CO-OP**, Pfizer Inc.

**Cindy Foster**, FINRA

**Janet Hill**, KBR, Inc.

**Jessica Kuchta-Miller, CO-OP**, Washington University in St. Louis

**Jen Sims**, University of Texas — Austin

**Dana Stutzky**, Saskatchewan Worker's Compensation Board

**Albin Swenson, CO-OP**, Chevron, (retired)

*IOA Staff:*

**Rick Koepke**, Executive Director

# IOA Task Force and Initiative Reports

## STRATEGIC ALLIANCES/PARTNERSHIP TASK FORCE

The Strategic Alliances/Partnership Task Force worked on a number of important projects, and is making headway in helping establish criteria for identifying, selecting, approving and working with partners. The task force worked on the clarification of overlapping committee responsibilities; a written proposal checklist for strategic alliances/partnerships; and recommended an alliance with the American Bar Association Ombuds Committee.

### ***Task Force Members***

#### *Co-chairs:*

**Mauricio Ramos, CO-OP**, Sandia National Laboratories

**Randy Williams**, Redmond, Williams & Associates, LLC

#### *Members:*

**Danita Elkerson**, U.S. Department of Justice

**Marvin Neal, CO-OP**, The Coca-Cola Company

**Liz Tomaszewski**, Worcester Polytechnic Institute

#### *IOA Staff:*

**Rick Koepke**, Executive Director



# IOA Task Force and Initiative Reports

## AD HOC TITLE IX RESPONSE TASK FORCE

### Accomplishments in 2016

In February 2016 the Task Force received the commissioned memorandum from the law firm of Wilmer-Hale. This memo supports the proposition that the academic ombuds should not be designated “a responsible employee” under Title IX or a “Campus Security Authority” under the Clery Act.

Following receipt of the memo, the first step the task force undertook was writing a cover letter to provide context to the memo for IOA members.

The Task Force further sought to provide effective outreach of the memo to IOA members and other partners. Per the task force recommendation, the IOA board emailed the memorandum and cover letter to all members. Further, the Task Force explained the importance of the memorandum at the IOA business meeting. The Task Force shared the memorandum at the meeting of the academic ombuds and answered questions. The memorandum was placed on the IOA website as a resource for members.

Finally, to provide further outreach beyond IOA members, the T9 task force collaborated with members of other committees, including Communications. This collaboration resulted in the memorandum being posted on the American Bar Association’s Ombuds Committee website by Caroline Adams, ombuds at the University of California at Santa Barbara.

- ▶ The U.S. Department of Education, in its 2016 Clery Handbook, lists ombudsman as an example of an individual who generally meets the criteria for being a Campus Security Authority (CSA). The task force helped to draft the IOA response which essentially explained that an ombudsman following the IOA Standards of Practice does not meet the functional definition of a CSA in the legislation or regulations. The letter was sent by the IOA President to the Secretary of the Department of Education.
- ▶ After receiving the Department of Education response above, in consultation with legal counsel, the Task Force developed a proposal and recommendations regarding IOA next steps regarding T9 and Clery implications, and legislation and lobbying activities generally; developing partnerships, and moving this work along more sustainably and with greater impact.
- ▶ The Task Force communicated with the CO-OP Board about T9 impacts on practice concerns around confidentiality and neutrality.
- ▶ A group of Task Force members and Chuck Howard are presenting a session at the IOA April 2017 Annual Conference regarding the Clery Update and issues raised by that update.

### Priorities for 2017

The IOA Board created the IOA Title IX ad hoc Task Force in spring 2014. As the IOA Committee and Task Force description indicates, the ad hoc Task

Force was to serve for six months and report back if additional time was needed. While it was necessary to extend the time to better gain expertise and make recommendations, the current chairs have submitted a proposal to our Board Liaison recommending it now be disbanded for a number of reasons: it has largely satisfied its charge; the new committee, Government and Policy Committee (GPC), will be undertaking the remaining work contemplated by the T9 Task Force; and GPC is populated by a sub-set of T9 Task Force members and therefore will retain the expertise gained over the last few years.

There are a number of initiatives that the T9 committee has determined should flow from these earlier efforts, including the following:

- a. Examination of the IOA Standards of Practice in relation to confidentiality and development of recommendations to improve the Standards. In particular, clarifying language in relation to the terms “imminent risk” and “privilege” is needed. This should be done in close liaison with the Ethics and Professional Standards Task Force and in consultation with legal counsel;
- b. In collaboration with the newly created Strategic Alliances/Partnership Task Force, diligent cultivation of external partnerships that will serve to strengthen IOA’s standing in the relation to T9-related issues, such as co-presentations with the National Association of College and University Attorneys;
- c. Regular updating of the T9 resource page, which is found on the “members only” site of IOA’s website;
- d. Continued cooperation and collaboration with the CO-OP board in relation to knowledge and education regarding T9; and
- e. Continuation of a call-in forum for interested academic ombuds to discuss topics of interest in relation to ombuds practice and Title IX (articles, media, legislation affecting institutions); and
- f. Ongoing tracking of state and federal legislation and rulemaking, and legal developments relating to T9, and regular reporting to IOA on pending legislation; consideration of options with respect to possible introduction of legislation regarding the ombuds profession; provide legislative recommendations to the Board of Directors; and otherwise advance the ombuds tenet of confidentiality via legislation. This involves a lobbying component, as well as the generation of additional revenue to support these efforts.

The remaining work was not contemplated in the original articulation of the “scope of responsibilities” for the Task Force, but it flows from its original purpose. The newly formed Government and Policy Committee (GPC), chaired by Bruce MacAllister, is poised to accomplish these deliverables, including following legislation and working on lobbying and identifying partnerships, (e.g. the ABA), and identifying upcoming opportunities and threats. In particular, it will look at other professional associations of similar size to examine how they have effectively achieved this objective.

## Task Force Members

*Co-Chairs:*

**Linda Falkson, CO-OP,**  
Cornell University

**Ruthy Kohorn Rosenberg,**  
Brown University

*IOA Board Liaison:*

**Bruce MacAllister,**  
International Foundation for  
Online Responsibility

*Members:*

**Wayne Blair,** University of North  
Carolina at Chapel Hill

**Shannon Lynn Burton,** Michigan  
State University

**Kouang Chan,** University of Texas  
Austin

**Kim Fulbright,** University of  
Cincinnati

**Howard Gadlin,** National  
Institutes of Health, (retired)

**Katherine Greenwood, CO-OP,**  
University of California, Davis

**Sarah Klaper,** Northern Illinois  
University

**Jessica Kuchta-Miller, CO-OP,**  
Washington University in St. Louis

**Andrew Larratt-Smith,** University  
of California, Riverside

**Marcia Martinez-Helfman,**  
University of Pennsylvania

**Laurie Mesibov,** University of  
North Carolina at Chapel Hill

**Patricia Ponce,** California  
Polytechnic State University

**Steve Prevaux,** University of  
South Florida

**Mary Rowe,** MIT

**Judi Segall,** MIT

**Lee Twyman,** Rochester Institute  
of Technology

**Lisa Witzler,** National Institutes  
of Health

*IOA Staff:*

**Rick Koepke,** Executive Director

## WHAT IS AN ORGANIZATIONAL OMBUDSMAN?

An organizational ombudsman is an individual who serves as a confidential, informal, independent neutral within a specific organization to provide conflict resolution and problem-solving services to members of the organization (internal ombudsman) and/or for clients or customers of the organization (external ombudsman). There are organizational ombudsmen in all sectors (corporate, academic, governmental, nongovernmental, and nonprofit). The word “ombudsman” is Scandinavian and means “representative” or “proxy.” The term is gender-neutral in origin and is used by IOA to communicate to the widest possible community. Variations of the term exist (i.e., ombuds, ombudsperson) and are common among those practicing in the ombudsman field. For more information about the organizational ombudsman profession, please visit IOA’s website at [www.ombudsassociation.org](http://www.ombudsassociation.org).

## About the IOA

### MISSION

The mission of the International Ombudsman Association is to support and advance the global organizational ombudsman profession and ensure that practitioners work to the highest professional standards by:

- ▶ Setting standards of practice, a regulatory platform, and a code of ethics for the organizational ombudsman profession
- ▶ Assisting in the establishment of organizational ombudsman offices
- ▶ Providing excellent professional development resources, research and information
- ▶ Increasing awareness and understanding of organizational ombudsman value among key stakeholders and the general public
- ▶ Creating strategic alliances or direct communications with other key organizations and professionals involved in dispute resolution, governance, ethics and risk mitigation.

### VALUES

- ▶ **Integrity:** IOA conducts all activities responsibly, with equity and accountability to its membership and profession.
- ▶ **Service:** IOA supports its membership by providing innovative and high-quality services.
- ▶ **Respect:** IOA embraces a range of differences of people and viewpoints in building a robust organization.
- ▶ **Collaboration:** IOA promotes interaction among ombudsman practitioners and engages with other organizations to advance the profession.

### GUIDING PRINCIPLE

...for every major organization to have an organizational ombudsman office.

### VISION STATEMENT

IOA leads the global organizational ombudsman profession by setting the standard for excellence in practice and demonstrating the effectiveness of the organizational ombudsman role to organizational leaders, policy makers, other professions and associations, and the public.

### CODE OF ETHICS

#### *Independence*

- ▶ The ombudsman is independent in structure, function, and appearance to the highest degree possible within the organization.

#### *Neutrality and Impartiality*

- ▶ The ombudsman, as a designated neutral, remains unaligned and impartial.
- ▶ The ombudsman does not engage in any situation that could create a conflict of interest.

#### *Confidentiality*

- ▶ The ombudsman holds all communications with those seeking assistance in strict confidence and does not disclose confidential communications unless given permission to do so. The only exception to this privilege of confidentiality is where there appears to be imminent risk of serious harm.

#### *Informality*

- ▶ The ombudsman, as an informal resource, does not participate in any formal adjudicative or administrative procedure related to concerns brought to his/her attention.



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