

MC 709

Box 35

Folder

Corporate Ombudsman Association -- early  
ombuds conference materials

1982-1983

Founding  
Meetings  
COA



# Corporate Ombuds Association

From

1982 on many records of  
members, survey + activities

Pls keep a space in this box  
if possible for a pristine  
copy of the first (1987) Handbook

(I am having it digitized at Sloan  
+ will bring it)



CORPORATE OMBUDSPERSONS MEETING  
List of Attendees  
November 11, 1982

<u>Participant</u>	<u>Affiliation</u>
Jean Marc Choukroun	Busch Center
Bill Deane	Busch Center
Christine McEachern	Anheuser-Busch Co., Inc.
Dan McGillis	Harvard Law School
Martha Maselko	Bell Telephone Laboratories
Fred Olson	Control Data Corporation
Lee Robbins	Busch Center
Mary Rowe	Massachusetts Institute of Technology
Clarence Williams	u u u u



National Corporate Ombudsperson Conference  
A Tentative Formulation

FEB 11 1983

The Busch Center  
January 1983

GENERAL FORMAT: Plenary: speaker presentations/discussions (3)  
Plenary: formation of corporate ombudsperson association/network (1)  
Small Group Sessions: -training format workshops  
-discussion format workshops  
-organizational development workshop

Ample Informal Time

TIME: Two days: Evening registration, session, optional dinner  
Day 1 3:00 p.m. Baltimore  
Day 2 -- end 4:30 p.m.

Time-seasonal: end May/start June -- to avoid summer vacation period and allow planning time.

Time-within week: Tuesday evening to Thursday to allow participants to travel home during their workweek or to stay away for the weekend.

Tentative dates: <sup>24-26</sup> May ~~24-25~~, 1983

Calendar + ref MPR  
ok

PRE-CONFERENCE MATERIALS: Background profiles on conference participants  
Materials for specific sessions  
Schedule and registration items

✓ DURING CONFERENCE MATERIALS:  
-Suggested format (optional) for workshop session recorders, flip charts for sessions  
-Technical guides for cost/benefit evaluation/justification of an ombudspersons office  
-Materials for organization of a corporate ombudsperson association/network  
-In house materials

POST CONFERENCE MATERIALS: General report  
Guide to reference materials  
Supplemental network/assoc. organizational materials



DETAILED TIME SCHEDULE: FORMAT I

Tues. evening: Registration, optional dinner, speaker/discussion, socializing

Wednesday:

8:00-9:30: Breakfast, introductory remarks, informal conversation/socializing  
9:30-10:30: Plenary session - present survey results (Busch)  
10:30-12:30: Workshops  
1:00-2:30: Lunch, informal conversation/ socializing  
2:30-4:30(or 5:) Workshops  
5:30-6:30: Dinner ? *may change*  
✓ 7:30-8:45: Speaker/discussion (a wider systems view)  
8:45-11:00: Party

Thursday:

9:00-10:00: Breakfast  
10:00-12:00: Workshops  
12:00-2:00: Lunch, speaker/discussion from a perspective of operational practice  
2:30-4:30: Reports from workshops, wrap-up; network/assoc. forming\* ✓  
4:30-6:00: Cocktails for those staying on or leaving late

\* One group will have an early workshop on this topic and do organizing work (assisted by Busch personnel) throughout the conference

POSSIBLE FORMAT MODIFICATION: Agenda development through a participative process

Tues. evening: A brief speaker presentation and then developing a shared list of topic groupings.

Most (or all) of the subsequent workshops Wednesday morning would work on these topics and report back (utilizing internal recorders and flip charts) to a lunchtime plenary session.

This plenary session would decide on topics for the afternoon workshop sessions. Some might be continuations or reformulations of the morning sessions while others would be on new topics or extensions of morning session topics.

The process would be repeated with a late afternoon plenary session and workshops Thurs. morning with the remainder of the schedule as in Format I.

The two approaches could be mixed with some workshops pre-planned. Speakers should be chosen on topics particularly benefiting from expertise such as legal issues of confidentiality, management/accounting aspects of cost/benefit analysis.



SUGGESTED TOPICS FROM CAMBRIDGE MEETING

- Varieties of ombudspersons
- Cost/benefit aspects of the ombudspersons function (ROI)
- Risk assessment techniques of evaluating ombudsperson benefits
- Confidentiality, the duty to warn and shield laws
- Approaches to recordkeeping
- Career paths for ombudspersons
- Handling sexual harassment cases *minority women issues*
- Multiple role ombudspersons
- A right to peer accompaniment?
- Ombudsperson relationships to management information systems
- To mediate or to advocate?
- Cost control in the ombudsperson office
- Handling referrals from management about the behavior of third parties

Additions to Suggested Topics List:

- Core activities of ombudspersons:
  - complaint processing
  - consultation
  - educating personnel about institutional policies
- Reducing middle management anxiety about ombudspersons - building trust and confidence
- The collection and presentation of data



THE WHARTON SCHOOL  
of the  
UNIVERSITY of PENNSYLVANIA  
PHILADELPHIA 19104

BUSCH CENTER

February 18, 1983 MARY P. ROWE VANCE HALL CS  
Special Assistant to the President 3733 SPRUCE STREET

FEB 23 1983

Ms. Mary Rowe  
Special Assistant to the President  
Office of the President  
Massachusetts Institute of Technology  
77 Massachusetts Ave.  
Cambridge, MA 02139

Ref. to \_\_\_\_\_

File \_\_\_\_\_

Dear Ms. Rowe:

During the last year we have been engaged at the Busch Center in research on corporate ombudspersons (internal individuals who provide third party confidential assistance in the resolution of employee conflicts in their organization). Many of the corporate ombudspersons we contacted in the course of this work conveyed to us their feelings of isolation and their desire and need for contact and communication with other people involved in similar work. This led to the idea of organizing a conference for corporate ombudspersons. We are now in the process of putting such a conference together.

A program committee has been set up for to plan the Conference which is tentatively scheduled for May 1983. A listing of program committee members is attached; those who wish to volunteer their services or input to the committee are welcome. The Busch Center will provide the administration for the conference on a non-profit basis.

Further details on the Conference plans to date are enclosed. These plans will remain fluid for a short period to allow input from those responding to this letter.

Enclosed also is a single sheet requesting an indication of your feelings about the Conference. Please return this as soon as possible so that plans for the Conference can be firmed up.

We look forward to this Conference as an exciting, enjoyable event and the first step in forming a network/association of corporate ombudspersons that will continue to work together to expand and improve the field in the future.

Sincerely,

*Lee Robbins*

Lee Robbins  
Conference Coordinator



National Corporate Ombudsperson Conference  
A Tentative Formulation

The Busch Center  
January 1983

GENERAL FORMAT: Plenary: speaker presentations/discussions (3)  
Plenary: formation of corporate ombudsperson association/network  
Small Group Sessions: -training format workshops  
-discussion format workshops  
-organizational development workshop  
Ample Informal Time

TIME: Two days: Evening registration, cocktails, dinner, speaker, discussion  
Day 1  
Day 2 -- end 3:00 p.m.

Tentative dates: May 24 (evening), May 25-26, 1983

PLACE: Cross Keys Inn; Baltimore, MD; easy access to Baltimore-Washington Airport; recreational and dining facilities.

SPEAKERS: In the process of selection: to include at least one nationally known researcher and at least one working ombudsperson.

PRE-CONFERENCE MATERIALS: Background profiles on conference participants  
Materials for specific sessions  
Schedule and registration items

DURING CONFERENCE MATERIALS: -Suggested format (optional) for workshop session recorders, flip charts for sessions  
-Technical guides for cost/benefit evaluation/justification of an ombudspersons office  
-Materials for organization of a corporate ombudsperson association/network  
-In-house program materials to share by participants

POST CONFERENCE MATERIALS: General report  
Guide to reference materials for ombudspersons  
Supplemental network/assoc. organizational materials

COST: \$300 plus food and lodging.



DETAILED TIME SCHEDULE:

Tues. evening: Registration, dinner, speaker/discussion

Wednesday:

8:00-9:30: Breakfast, introductory remarks  
9:30-10:30: Plenary session - present survey results (Busch Center)  
10:30-12:30: Workshops  
1:00-2:30: Lunch (informal)  
2:30-4:30(or 5:) Workshops  
6:00-7:00: Cocktails (open bar)  
7:00-7:45: Dinner  
8:45-9:00: Speaker/discussion (a wider system view)

Thursday:

8:00-8:45: Breakfast  
9:00-11:00: Workshops  
11:00-1:00: Lunch, speaker/discussion from the perspective of a practitioner  
1:00-3:00: Reports from workshops, wrap-up; network/assoc. forming\*  
3:30-5:00: Cocktails for those staying on or leaving late

\* One group will have an early workshop on this topic and do organizing work (assisted by Busch Center personnel) throughout the conference



SUGGESTED TOPICS:

- I) Financial aspects of the ombudsperson office
  - a. Cost/benefit aspects of the ombudsperson function (ROI)
  - b. Risk assessment techniques of evaluating ombudsperson benefits
  - c. Cost control in the ombudsperson office
  
- II) Confidentiality, record keeping and data collection
  - a. Confidentiality, shield laws and the "duty to warn"
  - b. Approaches to functional recordkeeping
  - c. Effective presentation/collection of data
  
- III) Beyond conflict resolution
  - a. Ombudsperson input to management information systems
  - b. Ombudspersons as internal consultants
  - c. Multiple role ombudspersons with non-ombudsperson roles
  
- IV) Practical "nuts and bolts" issues
  - a. Sexual harassment, minority and EEO issues
  - b. Should clients have a right to peer accompaniment?
  - c. Should referrals concerning third parties be accepted?
  - d. To mediate or to advocate?
  - e. Techniques of complaint resolution
  - f. Techniques for educating personnel about institutional policy
  - g. The reduction of middle management anxiety about ombudspersons -- building trust and confidence
  
- V) New frontiers
  - a. Developing career paths for ombudspersons
  - b. Development and implementation of new ombudsperson positions
  - c. New roles for ombudspersons
  - d. Developing an ombudsperson network/association



*THE WHARTON SCHOOL*  
*of the*  
*UNIVERSITY of PENNSYLVANIA*  
PHILADELPHIA 19104

BUSCH CENTER

December 6, 1982

VANCE HALL CS  
3733 SPRUCE STREET

Ms. Mary Rowe  
Special Assistant to the President  
Massachusetts Institute of Technology  
77 Massachusetts Ave.  
Cambridge, MA 02139

*Nov 11/82  
conf*

Dear Ms. Rowe:

On behalf of my colleagues, Jean-Marc Choukroun and Bill Deane, and myself, I would like to thank all of you, "real people" and fellow researchers for making our Cambridge meeting so productive and exciting.

Enclosed are some notes from the meeting highlighting some of the points discussed and recapitulating the preliminary plans for a Conference in May 1983.

We are going ahead with initial preparations for the conference and will contact you again in December or January on this topic. The group might wish to meet again at that time. In the meantime we urge you to contribute your ideas and suggestions on the conference or other work which should be done.

Sincerely,

*Lee Robbins*

Lee Robbins  
Systems Research Analyst

MARY P. ROWE

Special Assistant to the President

DEC 1 1982



Corporate Ombudspersons Meeting

November 11, 1982

Brief Participant Synopsis

Mary Rowe and  
Clarence ~~Wilson~~ *Williams*  
Special Assistants to the President  
Massachusetts Institute of Technology  
77 Massachusetts Avenue  
Cambridge, MA 02139

~~(617) 552-921~~

- position established 10 years ago
- a high caseload, 0 barrier office
- 90% of visitors are faculty and staff
- goal is to help visitors help themselves

Christine McEachern and Bob Race (Asst.)  
Director - Personnel Communications  
Anheuser-Busch Companies, Inc.  
One Busch Place  
St. Louis, MO 63118

~~(314) 577-3374, 4479~~

- 100% caseload increase in her first year
- forwards information of concern to management while protecting confidentiality
- functions informally
- reports one level below the CEO

Fred Olson  
Director of Work Problems Counseling  
Control Data Corporation  
8100 34th Ave., S.  
Minneapolis, MN 55440

~~(612) 855-8864~~

- initiated in 1974 from EAP (mostly alcoholism) program
- 150-200 cases a month (shared with 2 assistants)
- facilitates employee use of existing channels first
- successful aggressive marketing of services, internal and external



Martha Maselko  
Ombudsperson-Section 44A  
Bell Laboratories  
Crawford's Corner Road  
L2 3B106A (Lincroft)  
Holmdel, NJ 07733

~~(201) 566-3333~~

- small unit ombudsperson (works with 800-1000 employees)
- position developed through employee contact with Mary Rowe
- "helps people help themselves"
- handles many types of employee needs in addition to conflict resolution

Michael Baker  
Executive Vice-President  
The Educational Fund for Individual Rights  
475 Riverside Drive - Suite 825  
New York, NY 10115

~~(212) 566-6000~~

- long standing research interest in dispute resolution
- identified and studied informal ombudspersons in 30 large companies
- extensive contact and information in the field

Professor Daniel McGillis  
Harvard Law School  
Center for Criminal Justice  
Cambridge, MA 02138

~~(617) 495-4456~~

- has worked in mediation research area for 6-7 years
- also teaches in areas of law, psychology, social relations
- extensive knowledge of information and funding sources

Jean-Marc Choukroun, Bill Deane, and Lee Robbins  
Busch Center  
University of Pennsylvania  
400 Vance Hall/CS  
3733 Spruce St.  
Philadelphia, PA 19104

~~(215) 895-7777~~

- Research Center in Wharton School specializing in organizational planning and design - Associated with the Social Systems Sciences Dept.
- Increasingly involved in projects related to workplace humanization, quality of work life and industrial democratization
- Interest in ombudspersons stemming from ongoing research in those areas.
- Working with Chris McEachern at Anheuser-Busch to help her develop her role and functions as ombudsperson.



Professional Organizations that may be of interest:

ABA-Special Committee on Alternate Means of Dispute Resolution

Director: Larry Ray

1800 M. St., N.W.

Washington, DC 20036

(Provides reports, announcements, membership directory)

SPDR: Society for Practitioners of Dispute Resolution

1730 Rhode Island Ave., N.W.

Washington, DC 20036

(Mary Rowe will direct their new committee on ombudspersons)

International Institute of Ombudspersons

University of Alberta

Edmonton, Alberta; Canada

(There was some uncertainty within the group as to whether they include private industry ombudspersons.)

Center for Dispute Resolution

(See Michael Baker entry in list of Cambridge Meeting participants)

Upcoming Conferences:

March 5-6, 1983; conference on Conflict Resolution Mechanisms at the University of Georgia; Athens, GA.

Books and Articles of Interest:

Coping with Difficult People, Robert Bramson, 176 pp., 1982.

paperback \$2.75, Balantine (also available in hardback from Doubleday, 1981).

Nonunion Complaint Systems: A Corporate Appraisal, Ronald Berenbeim, 44 pp, 1980, paperback \$15 (for Non-associates), The Conference Board; 845 Third Ave., New York, NY 10022.

\*"Due Process: Will Business Default?", Harvard Business Review, 60, Nov/Dec 1982, pp 114-122.

\*"In Defense of the Grievance Procedure in a Non-Union Setting," Employee Relations Law Journal, Vol. 2, No. 4, pp. 434-443.

\*"The Corporate Ombudsman," Harvard Business Review, 45, May/June, 1967, pp. 77-87.

\*Contact Lee Robbins at the Busch Center if you would like a copy of this item sent to you.



## CAMBRIDGE MEETING THEMES

The main results of our meeting were getting acquainted with one another and sharing our insights and perceptions about corporate ombudspersons. Out of this meeting came shared understanding, plans for a larger conference and some specific themes. Our perception of these specific themes is as follows:

- The major work of ombudspersons is to "help clients help themselves;" this technique works even in sexual harassment cases.
- Fact finding was identified as a very important technique.
- Some discussants thought it helpful to have ombudspersons who share such salient client characteristics as age, race, sex, personality type.
- It is undesirable to handle cases which have been referred for solution by management rather than presented directly by a client.
- No clear conclusion was reached as to whether peer accompaniment by clients should be allowed/encouraged; accompaniment by a lawyer is antithetical to the process.
- Confidentiality issues were discussed extensively including such aspects as shield laws, whistle blowing, the duty to warn, record keeping, the subpoena of records, and testifying in court cases.
- The value of the ombudsperson as a source of information input on policy decisions was discussed.
- Approaches to publicity were described including home mailings, slide shows and films, distribution of wallet cards, developing a division newsletter and bulletin board notices.



- A discussion of the pressures for cost justification touched on the problem of assessing the value of catastrophic loss risk reduction.
- Considerable governmental and foundation interest in alternative methods of dispute resolution was identified.
- The work of several of the discussants indicated that there are many more corporate ombudspersons, formal and informal, than we have yet identified.
- It was suggested that additional useful literature for ombudspersons can be located by searching under the categories of internal consulting and management upward feedback.



Conference Planning Conclusions

November 11, 1982, Cambridge, MA

Planning Outline for a Conference

**THEME:** Who and What are Private Industry Ombudspersons

**PARTICIPANTS:** Private sector ombudspersons and "friends"

**OBJECTIVES:** Discovering who we are and what we are  
Developing a network  
Formulating a broader theoretical understanding of our role  
Encouraging and assisting in the development of ombudspersons

**WHEN:** May, 1983

**WHERE:** A pleasant conference site, preferably on the East Coast;  
Christine McEachern of Anheuser-Busch will look into the  
matter and propose a suitable location.

**ORGANIZATION:** Busch Center

**COST:** \$175 - \$300 excluding food, lodging

**DURATION:** 2 days

**ATTENDANCE:** By invitation

**PROGRAM COMMITTEE:** Martha Maselko, Christine McEachern, Fred Olson and  
Clarence Wilson

**FORMAT:** To be conducted primarily in small group sessions with limited  
plenary meetings and ample time for informal discussion. One  
or more background papers and the results of a survey of  
participants will be made available to those attending. One  
or more keynote speakers may also be included.

**SUGGESTED TOPICS  
TO BE COVERED  
AT CONFERENCE:** Varieties of ombudspersons  
Cost/benefit aspects of the ombudspersons function (ROI)  
Risk assessment techniques of evaluating ombudsperson benefits  
Confidentiality, the duty to warn and shield laws  
Approaches to recordkeeping  
Career paths for ombudspersons  
Handling sexual harassment cases  
Multiple role ombudspersons  
A right to peer accompaniment?  
Ombudsperson relationships to management information systems  
To mediate or to advocate?  
Cost control in the ombudsperson office  
Handling referrals from management about the behavior of  
third parties



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PHILADELPHIA 19104

BUSCH CENTER

VANCE HALL CS  
3733 SPRUCE STREET

April 27, 1983

Ms. Mary Rowe  
Special Assistant to the President  
Office of the President  
Massachusetts Institute of Technology  
77 Massachusetts Avenue  
Cambridge, MA 02139

MARY P. ROWE  
Special Assistant to the President

MAY 5 1983

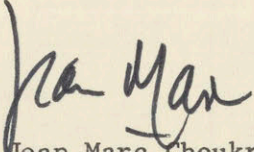
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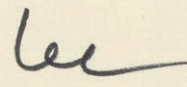
Dear Mary:

Unfortunately insufficient sign-ups have forced us to postpone the National Corporate Ombudsperson Conference for the present time. It is clear that there is considerable interest in the topic, but further work will be needed before we can hold such a meeting.

We greatly appreciate your interest and participation in the work to date. We intend to continue our research in the area, and hope that together we will be able to reschedule and hold the planned Conference.

Sincerely,

  
Dr. Jean Marc Choukroun  
Research Associate

  
Lee Robbins  
Systems Research Assistant





Department of Distinctive Collections  
Massachusetts Institute of Technology  
77 Massachusetts Avenue  
Cambridge, MA 02139-4307  
[libraries.mit.edu](http://libraries.mit.edu)



The remaining contents of this folder have been redacted.

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

Department of Distinctive Collections at

[distinctive-collections@mit.edu](mailto:distinctive-collections@mit.edu)