



ICANN | 54

Dublin



18-22 OCTOBER 2015





AoC and Organizational Reviews: Supporting ICANN Accountability

ICANN54 | 21 October 2015

Agenda

1

Upcoming Reviews

2

Reviews in process

3

Implementation of
Prior Review
Recommendations

4

Lessons Learned &
Process
Improvements

5

Discussion

Reviews: One of several important accountability mechanisms

ICANN Accountability Mechanisms

ICANN Bylaws

Affirmation of Commitments

Accountability Mechanisms

- Reconsideration
- Ombudsman
- Independent Review Process
- Document Information Disclosure Policy ^[1]
- Other Mechanisms ^[1]

Organizational Reviews

- At-Large
- ASO
- ccNSO
- GNSO
- Nominating Committee
- RSSAC
- SSAC
- Board of Directors ^[2]
- Technical Liaison Group ^[2]

AoC Reviews

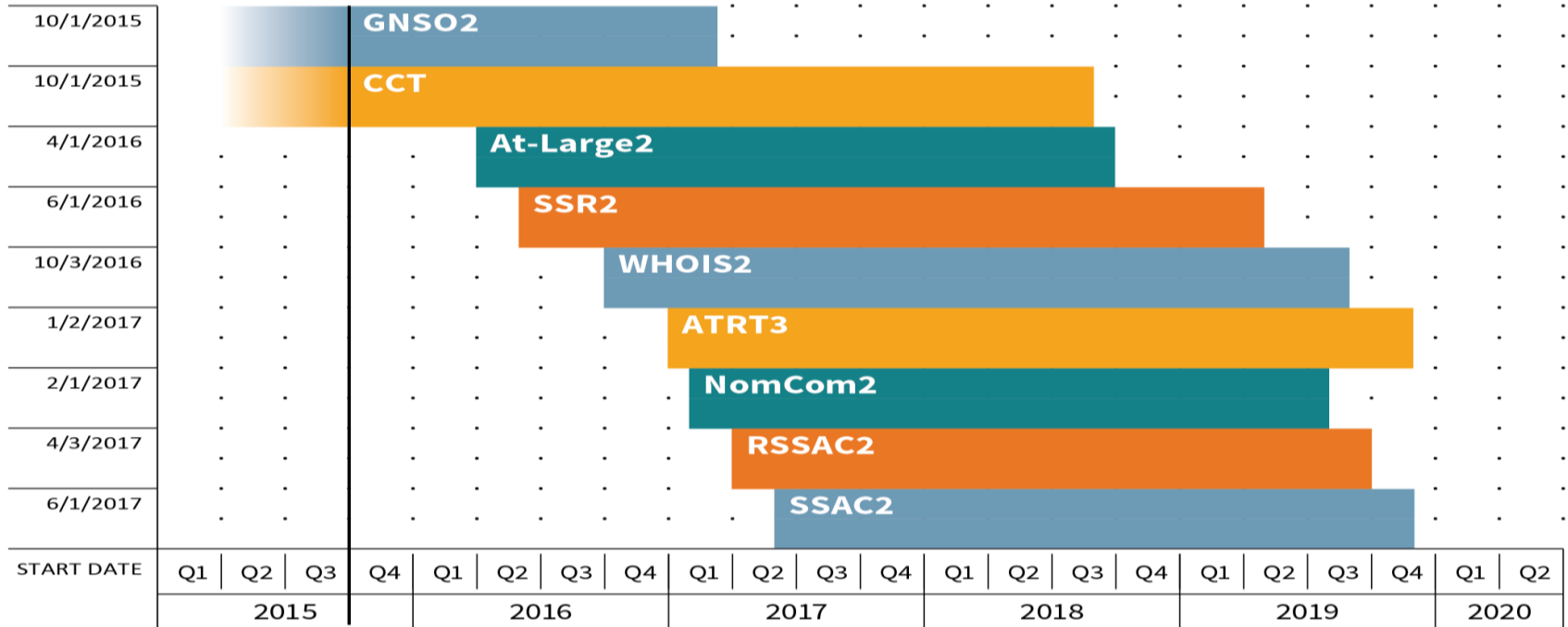
- Accountability and Transparency-(ATRT)
- Security, Stability and Resiliency of the DNS-(SSR)
- WHOIS Policy
- Competition, Consumer Trust, and Consumer Choice

[1] Includes extensive other ways that ICANN is accountable.

[2] Organizational review is not mandated by ICANN Bylaws and other mechanisms are used to review commitments.

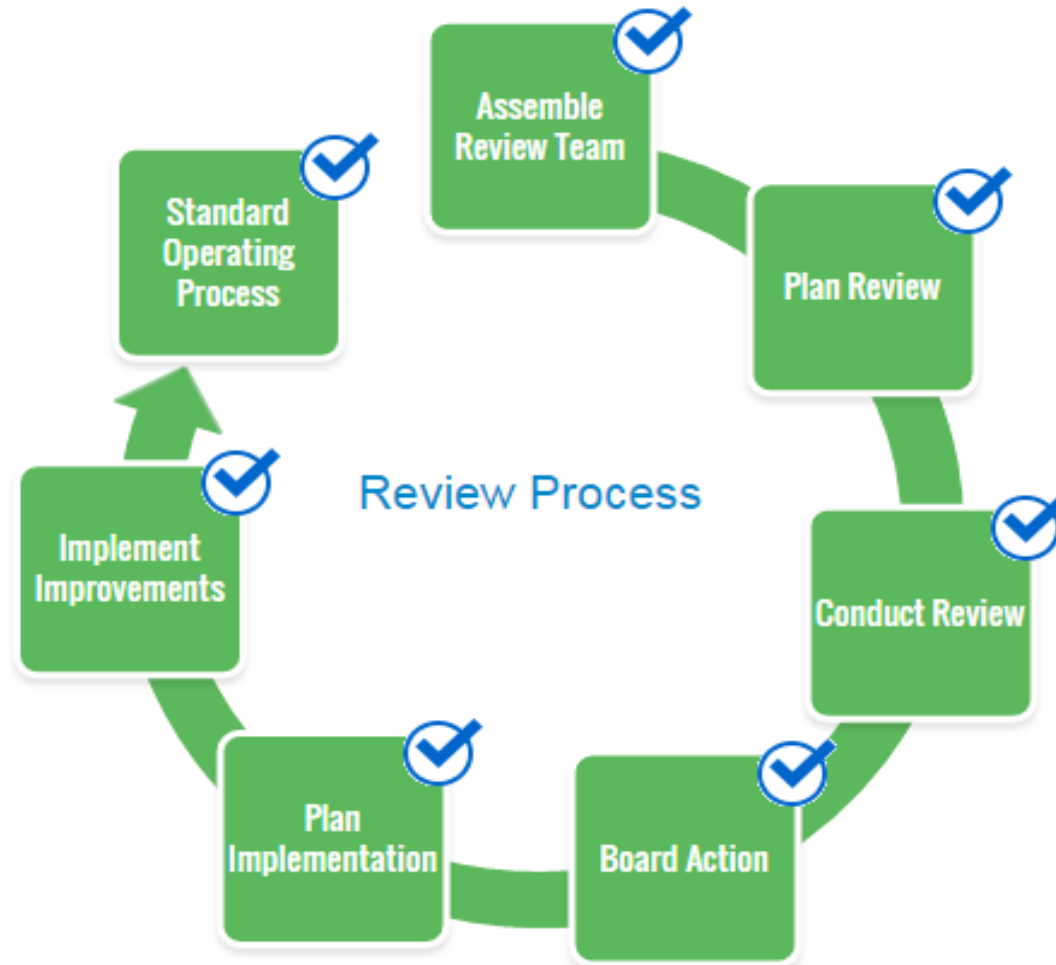
Upcoming Reviews

Proposed AoC and Organizational Reviews Timelines



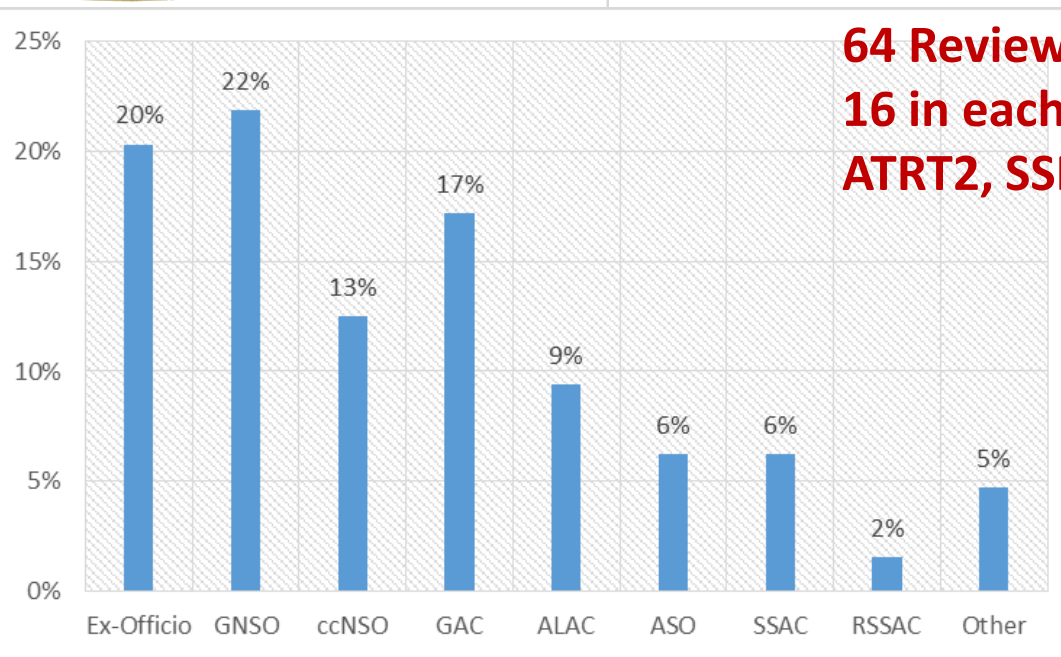
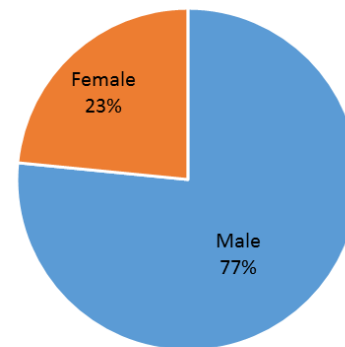
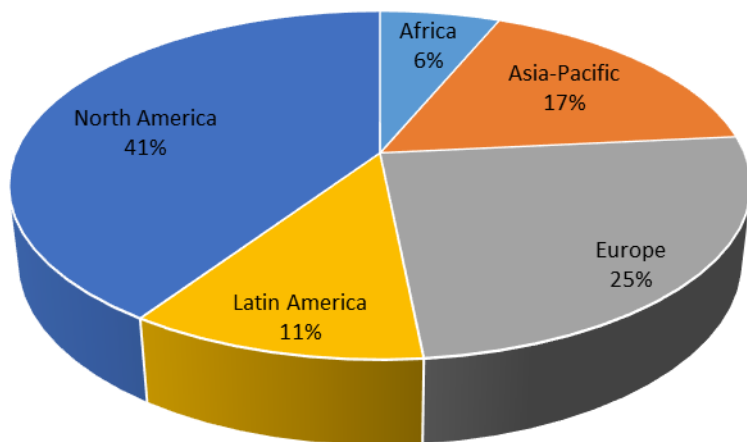
- AoC Reviews schedule is pending dialogue with NTIA
- The timeline reflects: (1) AoC – call for volunteers, conduct of review, Board consideration and action and implementation; (2) Organizational – conduct of review, Board consideration and action and implementation
- Organizational Reviews pre-planning activities will take place in the months leading up to the start of the Review.

AoC Review Process



More information @ icann.org

Composition of Past AoC Review Teams



**64 Review Team Members
16 in each Review (ATRT1,
ATRT2, SSR and WHOIS)**

Background - Competition, Consumer Trust & Consumer Choice Review

Section 9.3 of the Affirmation of Commitments states:

“If and when new gTLDs...have been in operation for one year, ICANN will organize a review that will examine the extent to which the introduction or expansion of gTLDs has promoted competition, consumer trust and consumer choice, as well as effectiveness of (a) the application and evaluation process, and (b) safeguards put in place to mitigate issues involved in the introduction or expansion.”

Overview

- The CCT Review Team (RT) will evaluate the New gTLD Program for its progress in enhancing competition, consumer trust and consumer choice.
- Data on a number of community-recommended metrics have been collected and published.

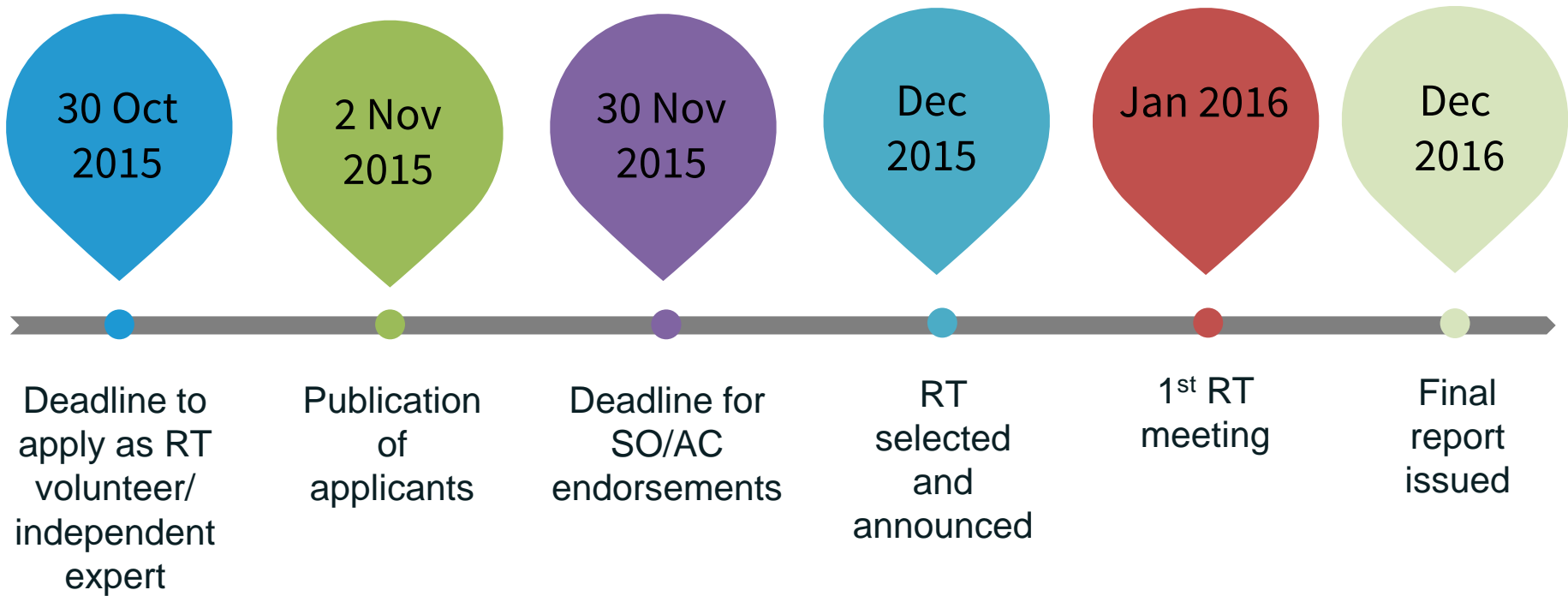
Key Points

- Call for Volunteers:
<https://www.icann.org/news/announcement-2-2015-10-01-en>
- List of applicants will be published
- Looking for range of volunteers with expertise in CCT
- CEO and GAC chair will select RT members
- Some community-recommended metrics are now available online.

CCT Review Team - Expertise Sought

- ◆ New gTLD Program
- ◆ ICANN's Multi-stakeholder model & procedures
- ◆ Consumer protection matters
- ◆ New gTLD rights protection mechanisms
- ◆ Mitigating DNS and potential security threats
- ◆ Competition and market issues
- ◆ Quantitative analysis and information systems
- ◆ Intellectual property rights protection

CCT Review – High Level Timeline





Reviews in Process
GNSO2
At-Large Review

Organizational Reviews Mandate

ICANN's [Bylaws](#) require that its structures be reviewed on a 5 year cycle.

- [Article IV: Accountability and Review](#), Section 4.1 references that “The Board shall cause a periodic review of the performance and operation of each Supporting Organization, each Supporting Organization Council ... by an entity or entities **independent** of the organization under review.”
- Goals of the review shall be to determine:
 - i. whether that organization has a continuing purpose in the ICANN structure, and
 - ii. if so, whether any change in structure or operations is desirable to improve its effectiveness

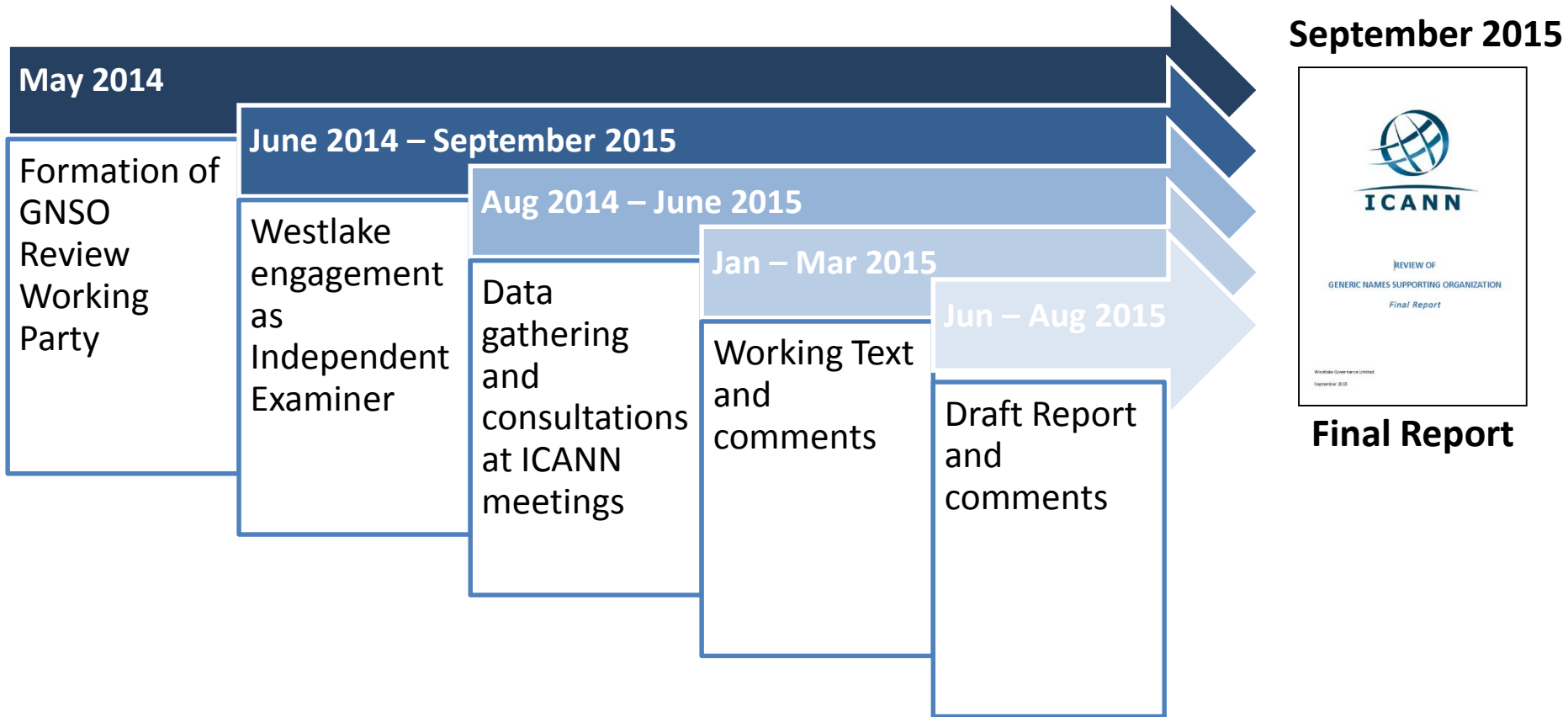
Organizational Review Process



More information @ icann.org

GNSO2 Review

GNSO Review Timeline



GNSO Review - By the Numbers

22 GNSO Review
Working Party
Meetings

24 Public sessions
@ ICANN meetings

178 Completed 360
Survey;
40 one-on-one
Interviews*

*Compared to an average of 71
surveys and 60 interviews for prior
Organizational Reviews

1,300+ Unique
page views to Wiki,
Announcements
and Blogs

7 Webinars, Blogs
& Videos

Public Comments
from **12**
Organizations & **3**
Individuals

GNSO Review - Surveys and Interviews

178 Completed
360 Survey;
40 one-on-one
Interviews*

*Compared to an average of 71 surveys and 60 interviews for prior Organizational Reviews



	Survey Responses	Interviews
Group	Percent	Percent
ALAC	7.8%	5.0%
ASO	1.0%	7.5%
Board	4.4%	7.5%
ccNSO	2.9%	0.0%
Fellowship	3.4%	0.0%
GAC	3.4%	0.0%
GNSO	50.5%	47.5%
RSSAC	0.0%	0.0%
SSAC	2.5%	2.5%
Staff	9.8%	20.0%
None	14.2%	0.0%
Anonymous	0.0%	10.0%

GNSO Review - 36 Recommendations

1

Participation and
Representation

3

Transparency

2

Continuous
Development
(including PDP)

4

Alignment with
ICANN's future

- Working Party and staff conducting feasibility & prioritization assessment for input to OEC

GNSO Review - Feasibility & Prioritization

1

Ease of
implementation

2

Resources needed
to implement

3

Alignment with
strategic direction

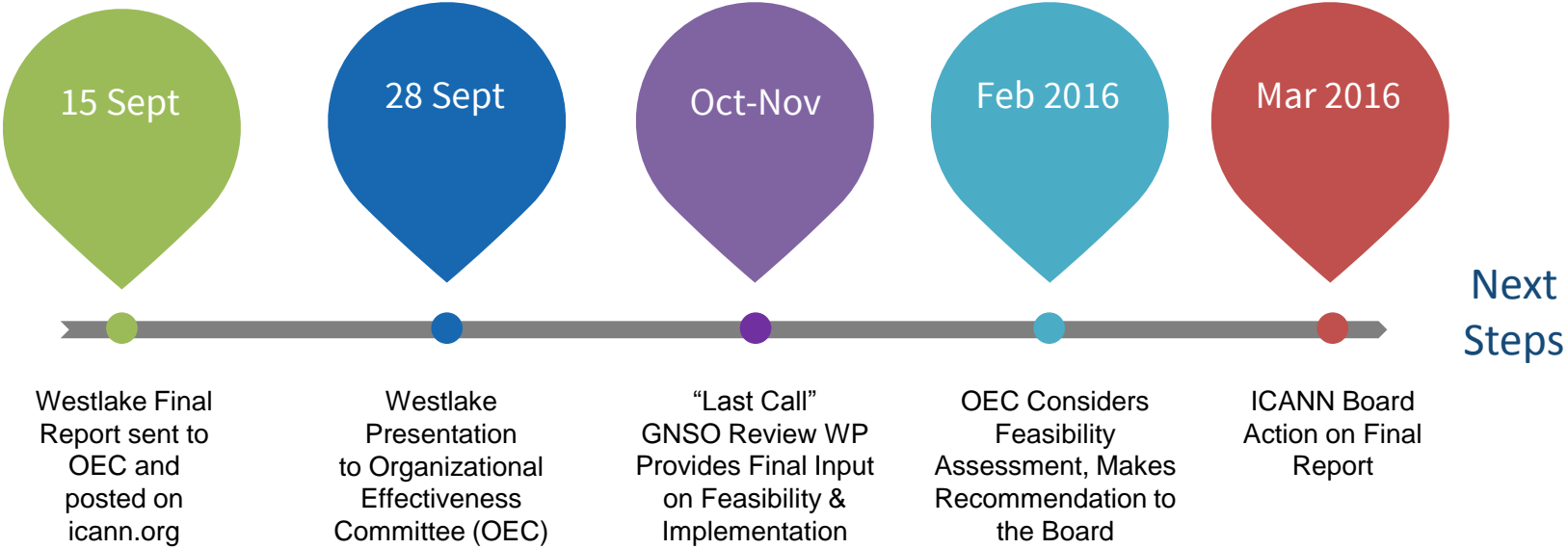
4

Dependence and
impact on other
groups/work

5

Need for additional
information

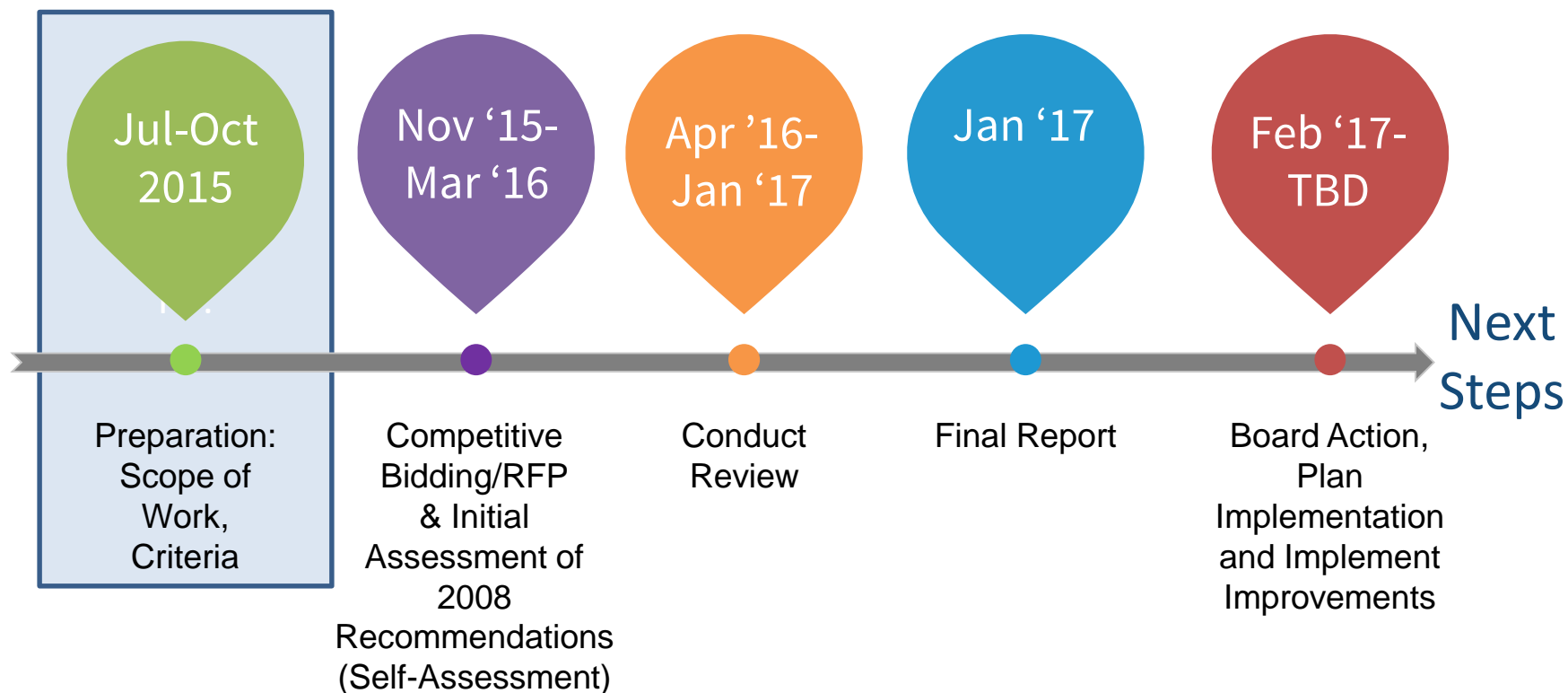
GNSO Review - Next Steps



Next Steps

At-Large Review

At-Large Review - Proposed Timeline



Working Party Activities:

- Feedback on Timeline, Scope of Work, Criteria and Methodology
- Initial Assessment of 2008 Recommendations (Self-Assessment)

At-Large Review - Scope of Work

Assess effectiveness of.....

- Improvements resulting from recommendations from the 2008 Review
- At-Large organization - ALAC, Regional At-Large Organizations (RALOs) and At-Large Structures (ALSes)

...relative to specified evaluation criteria

At-Large Review - Evaluation Criteria

- Fulfilment of Mission
 - Adherence to Policies/Procedures
 - Organizational Support

- Accountability & Transparency to the Public

- Membership Processes & Participation
- Communication

- Governance & Management
- Effectiveness of Execution

- Evaluation & Measurement of Outcomes

- Effectiveness of Implementation of Prior Review Recommendations

Additional criteria to be considered by Review Working Party

At-Large Review - Methodology

- Online surveys
 - ✓ Quantitative and qualitative elements focused on evaluation criteria
 - ✓ Feedback from members of At-Large Community, interested members from ICANN community and other structures, members of the Board and staff
- Observation of proceedings
- One-on-one interviews
- Review and analysis of documentation and records

At-Large Review - Proposed Independent Examiner Selection Criteria

1

Understanding of the assignment

2

Knowledge and expertise

- Demonstrated experience in conducting broadly similar examinations
- Not-for-profit experience
- Basic knowledge of ICANN
- Geographic and cultural diversity, multilingualism, gender balance
- Suitability of proposed CVs

3

Proposed methodology

- Work organization, project management approach, timelines
- Suitability of tools and methods or work
- Clarity of deliverables

4

Flexibility

- Meeting the timeline
- Ability to adjust to circumstances that could extend the review
- General adaptability

5

Reference checks

6

Financial value

7

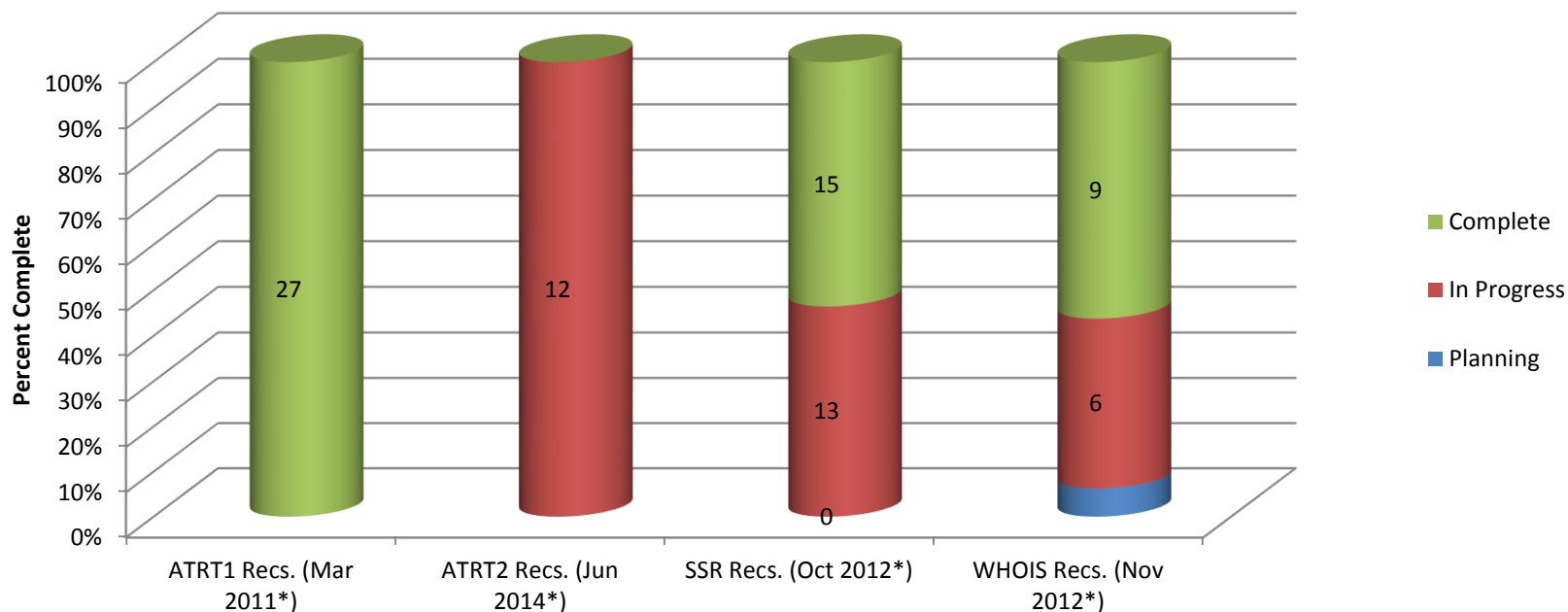
No Conflict of Interest

Additional criteria to be considered by Review Working Party

Status: Implementation of Prior Review Recommendations

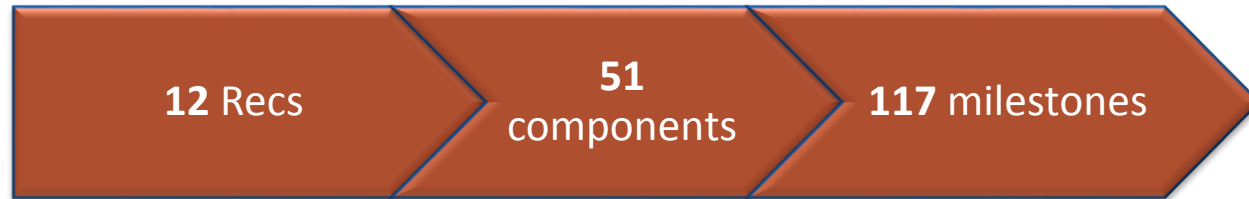
AoC Reviews–Implementation Status of Recommendations

As of 30 June 2015



* Date of Board action on the Review Team's recommendations.

- Information on AoC Reviews and status of implementation of recommendations can be found on new web pages: <https://www.icann.org/resources/reviews/aoc>
- Consequence of AoC Review recommendations is that they stimulate long-term improvement efforts
- Quarterly 30 September 2015 update will be posted by 15 November 2015



Milestone Completion

- 67% completed
- 20% on schedule
- 13% behind schedule

Responsibility

- | | |
|-------------|-----|
| ➤ Board | 5% |
| ➤ Community | 28% |
| ➤ Staff | 67% |

News and Announcements

Progress on Implementing ATRT2 Recommendations



Implementation of ATRT2 recommendations began June 2014. ATRT2 issued 12 recommendations consisting of 51 components, translated into 117 milestones planned using PMI best practices. To date, 67% of milestones completed, 20% on schedule, 13% are behind. Community, Board & staff are collaborating on implementation. Click link for more information.

ATRT2 Implementation – Sample Executive Summary

Implementation Executive Summary (June 2015)

ATRT2 Recommendation 7 Implementation

Public Comment Improvements

30 June 2015

Implementation 7 Timeline



November 2015
Operationalized

Recommendation 7 Implementation Description

ATRT2 Recommendation 7 identifies various mechanisms to improve public comment periods through process modifications and the use of new tools. The Board has specifically instructed staff to create and implement a process to enable those who comment during public comment periods to request changes to staff synthesis reports in cases where commenters believe the staff incorrectly summarized their comments.

The project improvements are now fully operationalized. Staff assessments will take place later this year to measure the effectiveness of the improvements and to determine what further steps can be taken to improve public comment and other community input mechanisms for the organization.

Status of Deliverables

	Responsible	Due Date
Centralized public comment page live on icann.org	Staff	✓
Enhanced visual timeline for public comment live on icann.org	Staff	✓
Ability to "follow" public comments on icann.org	Staff	✓
Eliminate Reply Cycle/Expand Comment period	Staff	✓
Create Staff Summary Report Inquiry Process	Staff	✓
Snapshot of public comment data 6 months after implementation	Staff	September 2015
Publish Report for Community	Staff	November 2015



Complete



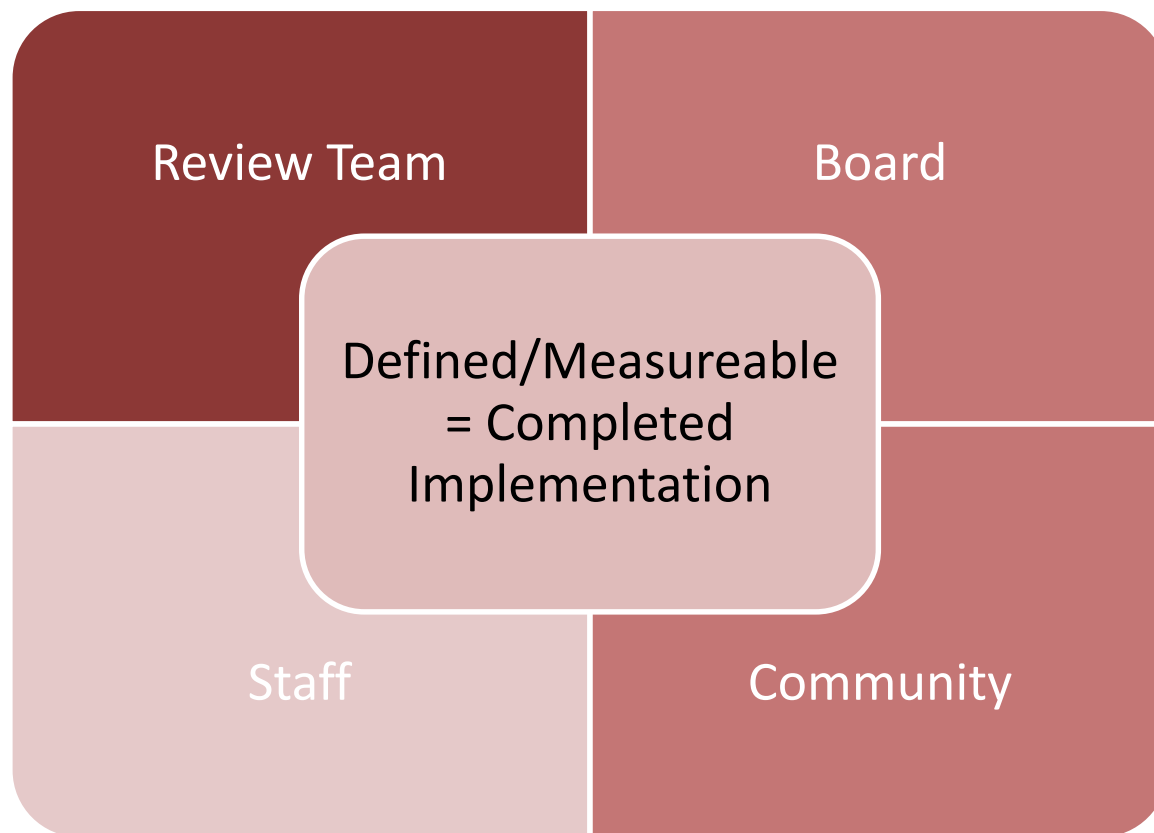
Planned/In Process



Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted

What Constitutes Success?



Specific

Measurable

Actionable

Realistic

Time-bound

Lessons Learned & Process Improvements

Highlights from Lessons Learned

1

Community buy-in is essential for successful implementation of improvements

2

Feedback loop & measurable improvements contribute to buy-in

3

Link Review outputs to Strategic Planning and other ICANN processes

4

Reviews of individual organizations should align with ICANN core values and strategic direction

5

Plan thoughtfully: apply relevant elements, realistic timelines, clear directions and definitions

6

Implementation plans to contain objectives, milestones, resources, timeline & evaluation criteria

Process Improvements

1

Clear and focused Review terms of reference and work plan

4

Identify key drivers of cost to maximize scarce resources

2

Budget Management & Cost Tracking

5

Designate several RT members to be involved in implementation planning and periodic assessment

3

Apply accepted best practices from recognized organizations used in similar performance assessments

6

Develop policies, procedures and guidelines to document and systematize review processes

New Reviews Section on icann.org



GET STARTED

NEWS & MEDIA

POLICY

PUBLIC COMMENT

RESOURCES

COMMUNITY

IANA STEWARDSHIP
& ACCOUNTABILITY

Resources

- ▶ [About ICANN](#)
- ▶ [Board](#)
- ▼ [Accountability](#)
 - ▶ [Accountability Mechanisms](#)
 - ▼ [Reviews](#)
 - ▼ [Organizational Reviews](#)
 - [ALAC](#)
 - [ASO](#)
 - [Board](#)
 - [ccNSO](#)
 - [GNSO](#)
 - [Nominating Committee](#)
 - [RSSAC](#)

Accountability

ICANN has a proven commitment to accountability and transparency in all of its practices. Indeed, ICANN considers these principles to be fundamental safeguards in ensuring that its international, bottom-up and [multi-stakeholder operating model](#) remains effective.

The mechanisms through which ICANN archives accountability and transparency are built into every level of its organization and mandate - beginning with its [Bylaws](#) and [Affirmation of Commitments](#).

ICANN Accountability Mechanisms



Discussion

Proposed Discussion Topics

- ⦿ How can we achieve more diverse participation in the review process?
- ⦿ What other improvements would the Community like to see in the conduct of AoC or organizational reviews?
- ⦿ Recognizing the over-commitment of the Community, how can we enhance the ability of the Community to participate and provide input to these reviews?

Please share your views and send your ideas to
Reviews@icann.org.

Visit session details page for links to additional information:
(<https://meetings.icann.org/en/dublin54/schedule/wed-aoc-org-reviews>)

Review web pages - <https://www.icann.org/resources/accountability>

[SSR Implementation Status](#)

[CCT Call for Volunteers](#)

[WHOIS Implementation Status](#)

[ATRT2 Implementation Status](#)

[GNSO Review Community Wiki](#)

[At-Large Review Community Wiki](#)



Thank You