



80 | POLICY
FORUM



ICANN Expected Standards of Behavior

- Webpage: <https://www.icann.org/resources/pages/expected-standards-2016-06-28-en>
- PDF: <https://www.icann.org/en/system/files/files/expected-standards-15sep16-en.pdf>

ICANN Community Anti-Harassment Policy

- Webpage: <https://www.icann.org/resources/pages/community-anti-harassment-policy-2017-03-24-en>

ICANN Reviews Updates

ICANN80 Prep Week

Presenters:

- Review Support and Accountability, Global Domains and Strategy
- Implementation Operations, Office of the Chief Financial Officer
- Policy Development Support

Thursday, 30 May 2024



Agenda

1. Welcome
2. ICANN Reviews Program Updates
 - a. Initiation of the Pilot Holistic Review
 - b. Evolving Organizational Reviews into a Continuous Improvement Program
 - c. Deferral of the Fourth Accountability and Transparency Review (ATRT4)
 - d. Lifecycle of Reviews Project
 - e. Opportunities for Community Participation and Input
3. ICANN Specific Reviews Implementation Updates
4. Work Stream 2 of Enhancing ICANN Accountability - Implementation Updates

Introductions



Xavier Calvez
SVP, Planning and Chief
Financial Officer



Giovanni Seppia
VP, Implementation Operations
PRESENTER



Alice Jansen
Implementation Operations
Director - Reviews
PRESENTER



Alperen Eken
Policy Development Support
Sr. Specialist
PRESENTER



Introductions



Theresa Swinehart

SVP, Global Domains
and Strategy



Larisa Gurnick

VP, Reviews Support and
Accountability



Evin Erdoğdu

Review Support and Accountability
Project Manager
PRESENTER



Jason Kean

Manager, Review Support and
Accountability Projects
PRESENTER



Yvette Guigneaux

Review Support and
Accountability Coordinator

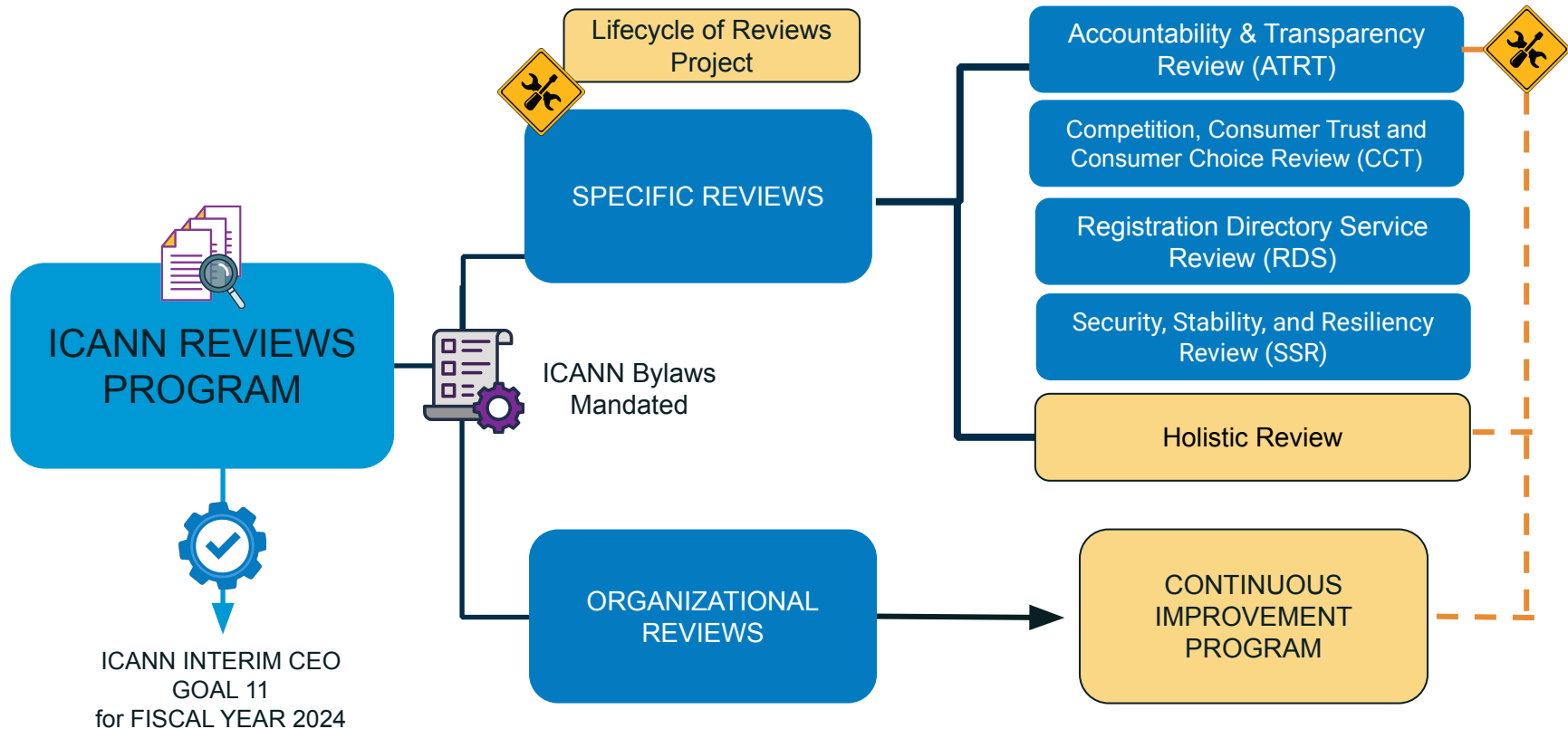


ICANN Reviews Program Updates

Presenters:

- Review Support and Accountability Team, GDS

ICANN Reviews Program

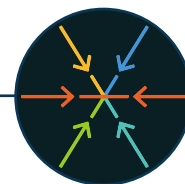


Status of ICANN Reviews

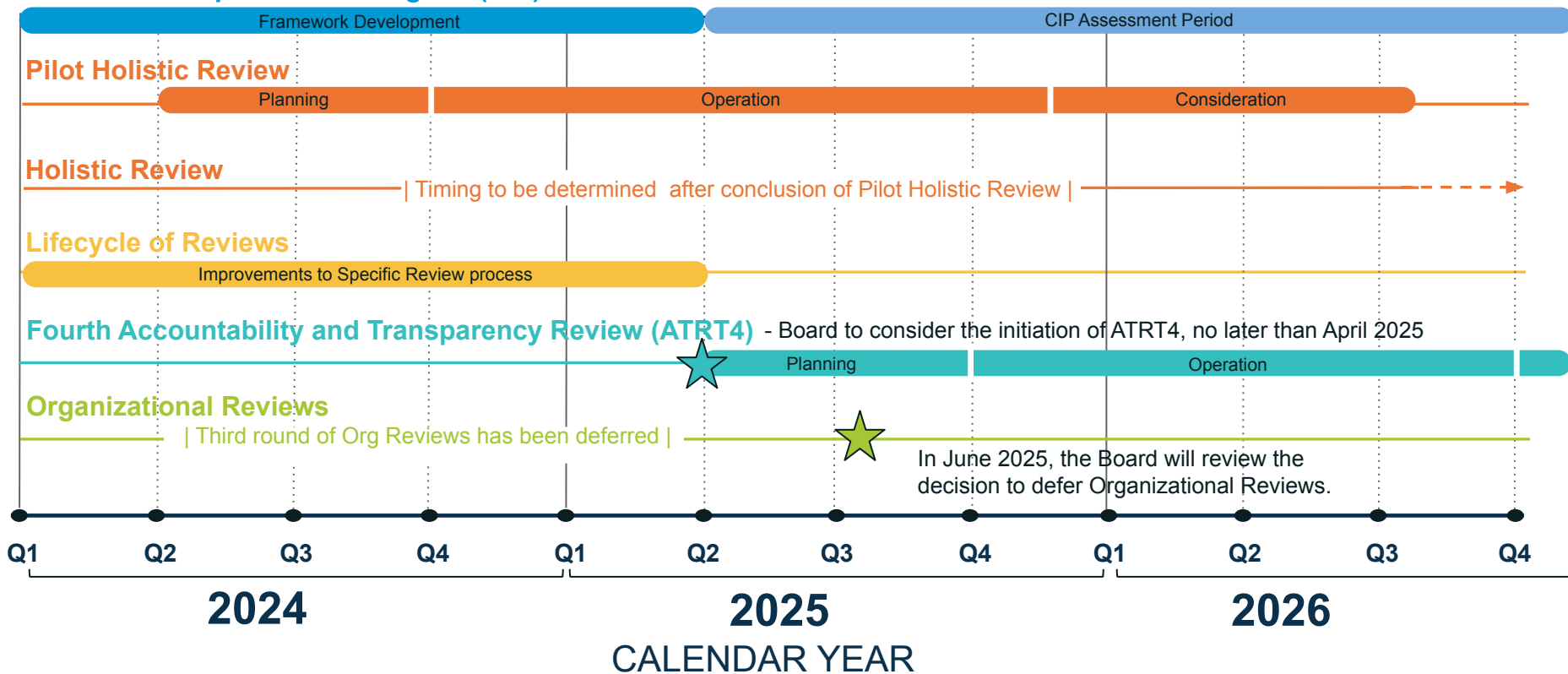
SPECIFIC REVIEWS	STATUS	TIMING
Registration Directory Service Review 3 (RDS3)	Deferred	TBD by ATRT4
Security, Stability, and Resiliency Review 3 (SSR3)	Deferred	TBD by ATRT4
Competition, Consumer Trust and Consumer Choice Review 2 (CCT2)	Not yet started	After next round
Accountability and Transparency Review 4 (ATRT4)	Deferred	No later than April 2025
Holistic Review (New)	Not yet started	Following Pilot Holistic Review and Bylaws are modified PHR schedule: Sept 2024 - Nov 2025

ORGANIZATIONAL REVIEWS	STATUS	TIMING
At-Large Review	Deferred	Board to evaluate in June 2025
Address Supporting Organization (ASO) Review	Deferred	Board to evaluate in June 2025
Country Code Names Supporting Organization (ccNSO) Review	Deferred	Board to evaluate in June 2025
Generic Names Supporting Organization (GNSO) Review	Deferred	Board to evaluate in June 2025
Nominating Committee (NomCom) Review	Deferred	Board to evaluate in June 2025
Root Server System Advisory Committee (RSSAC) Review	Deferred	Board to evaluate in June 2025
Security and Stability Advisory Committee (SSAC) Review	Deferred	Board to evaluate in June 2025

Convergence of Review-Related Work



Continuous Improvement Program (CIP)



ATRT3 Rec. 3.5: Holistic Review

HISTORY

1 **ICANN Bylaws** required the ATRT3 to be convened.



2 **ATRT3** examined how ICANN Reviews function.



3 **ATRT3** developed Recommendation 3.5, calling for a Holistic Review.



4 **Board approved** Recommendation 3.5 with caveats.



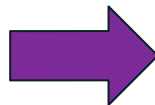
Caveats of Board Approval



Initiate Holistic Review as a pilot

Subject to prioritization
and available resources

Operated pursuant to a
community-agreed Terms
of Reference (ToR)



Pilot Holistic Review

- Operationalize Holistic Review
- Address Board identified information gaps

Board Decision: 29 April 2024



Preparations shall begin immediately to initiate the Pilot Holistic Review (PHR) as soon as feasible, but no later than September 2024



The PHR shall be carried out based on the PHR ToR and follow the Operating Standards for Specific Reviews, modified to be applicable to the PHR.



Board directs ICANN's Interim President and CEO, or her designee(s), to develop project plans and facilitate the completion of the Pilot Holistic Review within 14 months of its commencement.

Board Decision (cont)

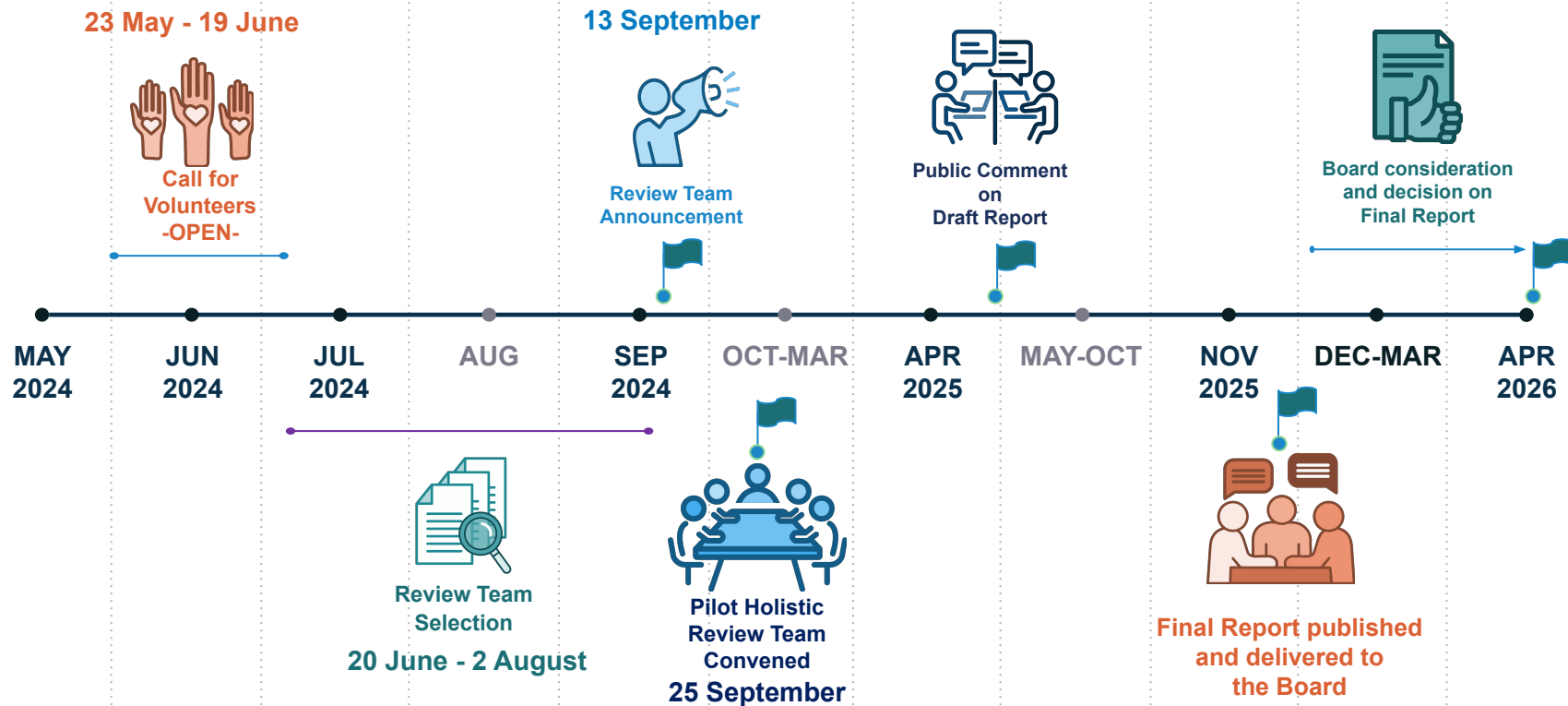


The Board acknowledges that PHR ToR has been updated to incorporate clarifications and Board expectations developed by the Board's OEC to provide guidelines to the PHR Team. These guidelines are intended to ensure that the Final Report addresses all information gaps and other considerations that the Board deems necessary to consider whether the Bylaws should be modified to include the Holistic Review, with support of the ICANN community, within a reasonable period of time.



The Board directs the Pilot Holistic Review Team to follow the updated ToR and the Operating Standards for Specific Reviews, as modified to be applicable to the Pilot Holistic Review.

Pilot Holistic Review Roadmap



Call for Volunteers



Application period is open!



- Interested individuals should review the **Team Member Role Description** for more information on the desired attributes, responsibilities, work methodology and the selection process.
- Apply by submitting an **Application Form** on the PHR wiki.
- Applications are due by **19 JUNE 2024, 23:59 UTC**.

Questions?



ATRT3 Rec. 3.6: Continuous Improvement Program (CIP)

HISTORY OF RECOMMENDATION 3.6

1

ICANN Bylaws required the Specific Review ATRT3 to occur



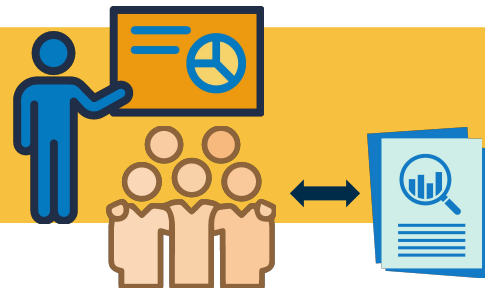
2

Community-led review team called for the evolution of Organizational Reviews into a Continuous Improvement Program (CIP)



3

The **Community**, supported by ICANN org is working to evolve Organizational Reviews conducted by independent examiners into a Continuous Improvement Program, conducted by the community



ATRT3 Recommendation 3.6: Evolving Organizational Reviews

- Calls for the evolution of Organizational Reviews conducted by an Independent Examiner into a [Continuous Improvement Program](#) led by the ICANN community.
- 21 out of 22 of the [groups](#) across the ICANN community are represented in a Continuous Improvement Program Community Coordination Group.
- The community is tasked with developing a framework for the program, which will be published for Public Comment prior to adoption by each SO, AC, and the NomCom.
- The Continuous Improvement Program will include a regular survey of members/participants for assessment, utilizing the framework.
- The Board [deferred](#) upcoming Organizational Reviews until 2025 so that this recommendation and other Review recommendations could be implemented.

ICANN Community and the CIP-CCG

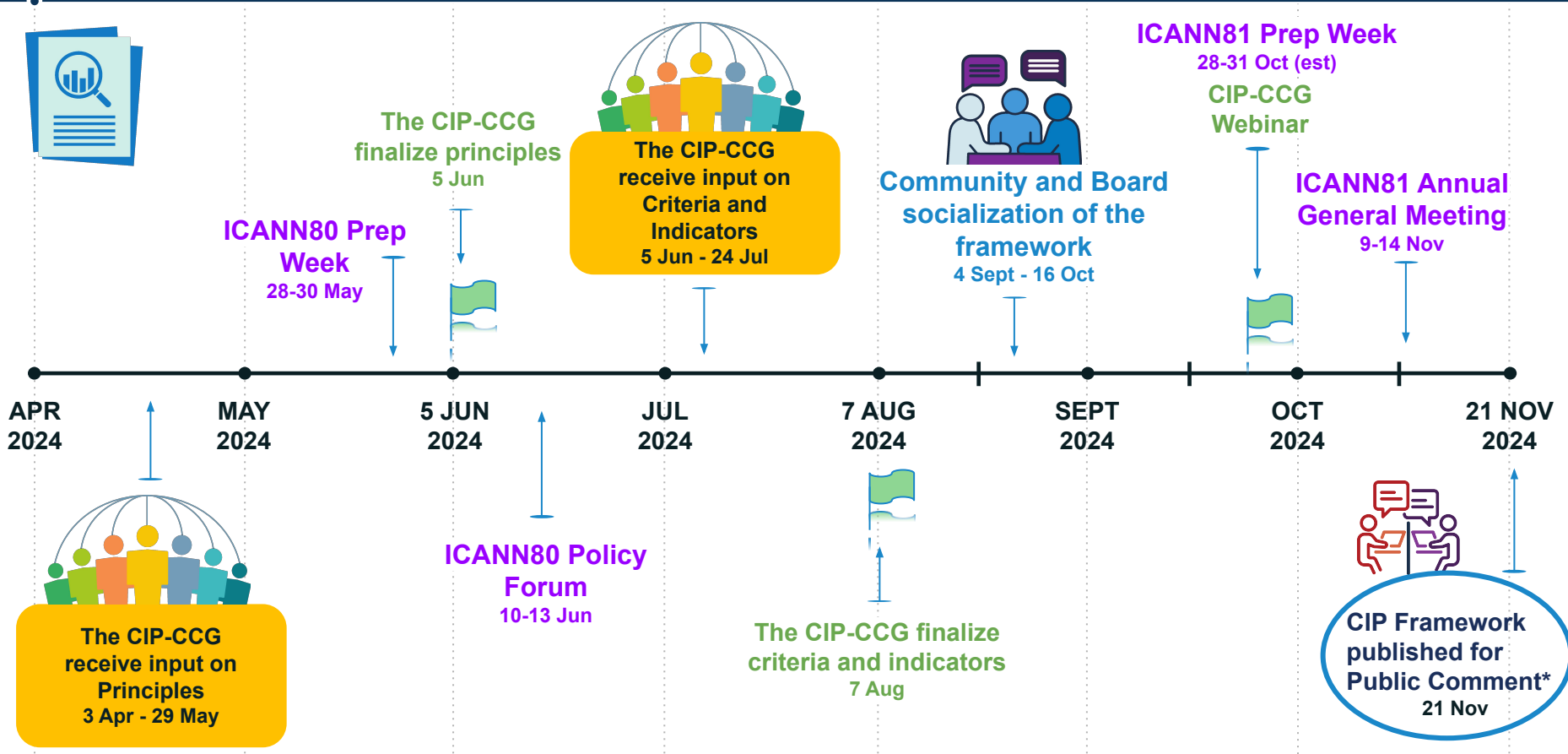


Pictured: [CIP-CCG volunteers during the ICANN79 Community Forum.](#)

CIP-CCG volunteers are sharing best practices and collaborating on community-wide implementation of ATRT3 Rec. 3.6. In work to-date, they have considered a range of methodologies for effective continuous improvement programs, utilizing a Principles-Criteria-Indicators framework fit for ICANN purpose.

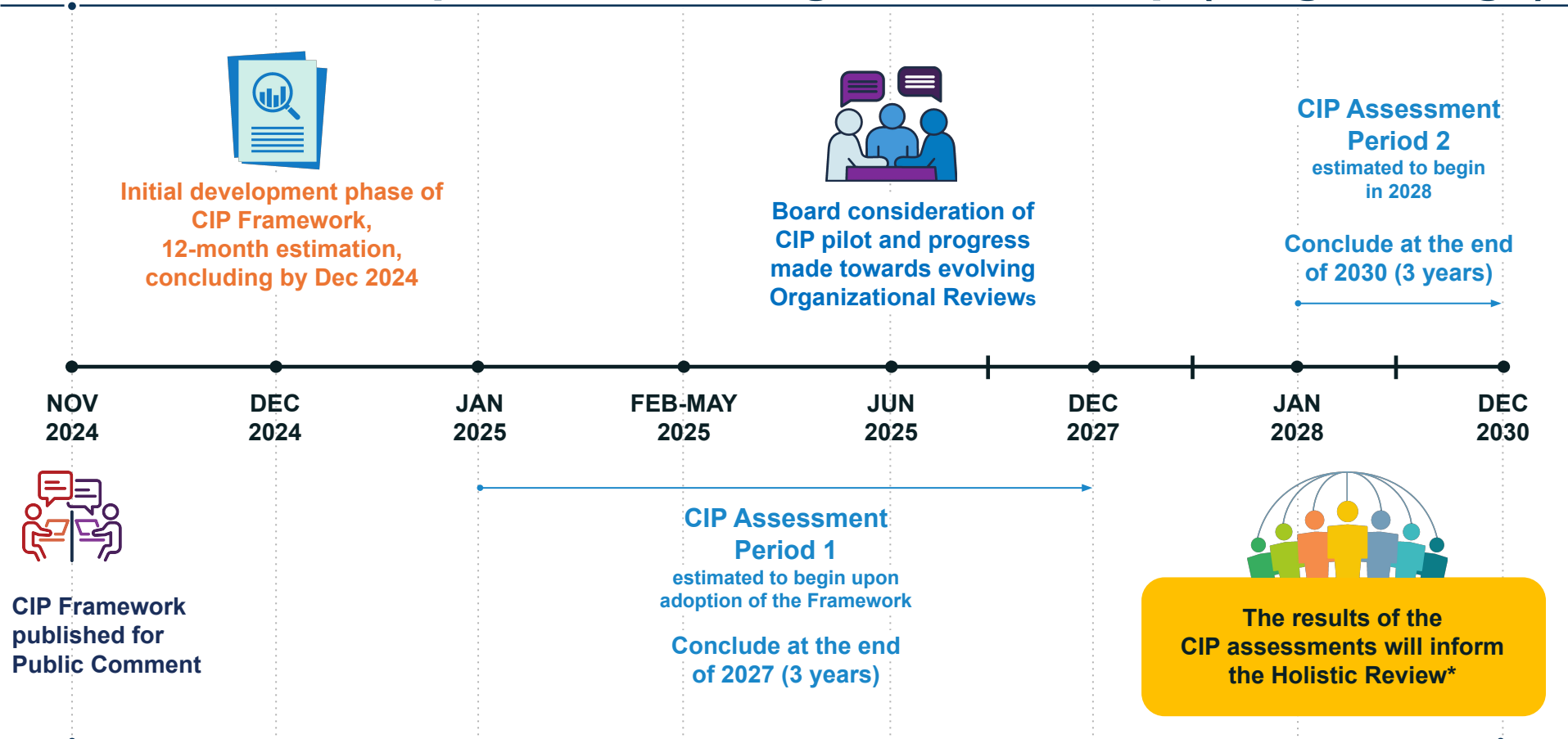
CIP-CCG volunteers are drafting the CIP Framework, to be used by each SO, AC, and NomCom, while relaying information back to their groups to inform the process.

CIP-CCG Roadmap (2024)



*The CIP-CCG will address input received and revise the CIP Framework, where relevant.

Continuous Improvement Program Roadmap (longer-range)



Questions?



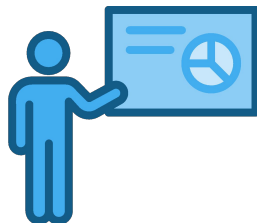
Timing of ATRT4 Review

Community Consultation



Board Direction

The Board discussed the timing of ATRT4 in September 2023 and again in January 2024, and asked ICANN org to initiate community consultation on the timing of ATRT4.



ICANN org led Consultation

ICANN org consulted with the Supporting Organizations and the Advisory Committees on the timing and potential deferral of ATRT4 for a limited period of time.



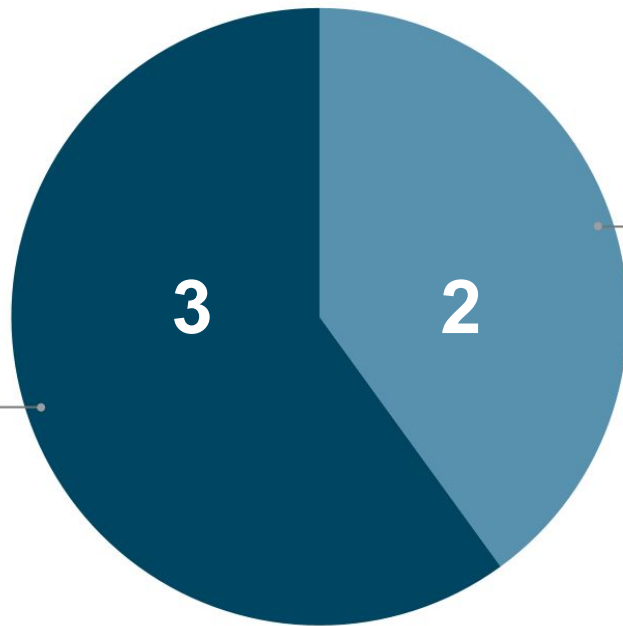
SO/AC Responses

Five SO/ACs and four constituencies responded prior to the Board's decision.

SO/AC Responses

Deferral

Three of the responding SOs and ACs expressed support for the deferral of ATRT4, citing unimplemented ATRT3 recommendations and capacity issues with running multiple reviews-related projects in parallel.



On Schedule

Two of the responding ACs indicated their preference for ATRT4 to initiate on schedule, citing adherence to ICANN Bylaws and the role that Accountability and Transparency Reviews play in providing oversight of ICANN's core commitment.

Board Decision: 29 April 2024



Defer ATRT4 for a limited time not to exceed 12 months, to allow for progress in the implementation of ATRT3 recommendations 3.5 and 3.6 (Pilot Holistic Review and the Continuous Improvement Program to evolve Organizational Reviews).



ICANN org to produce a status of implementation work on ATRT3 recommendations 3.5 and 3.6 and other ATRT3 recommendations in process of implementation, in sufficient time for the Board to consider the initiation of ATRT4, no later than April 2025.

Questions?



Lifecycle of Reviews Project

History

1

ICANN conducted 8 **Specific Reviews** following the Affirmation of Commitments (2009).



2

ICANN Board undertook work to improve Specific Reviews.



3

ICANN org initiated the Lifecycle of Reviews Project to continue the Board's work and build on **lessons learned over numerous cycles**.



Specific Reviews by the Numbers

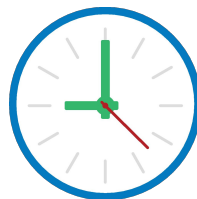
Resources required to support the last four reviews
CCT, RDS2, SSR2, AND ATRT3*



10,000 hrs

spent by 62 community
members in meetings

60% average participation rate
by community volunteers



20,000 hrs

of support provided
by ICANN org



\$3.4 million US

spent to support the work
of four Specific Review
teams



*Data collected from Specific Reviews Fact Sheets

Opportunity for Improvement



The Board
took action on

130

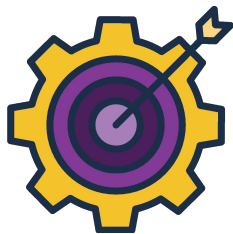
RECOMMENDATIONS



INITIAL ACTION

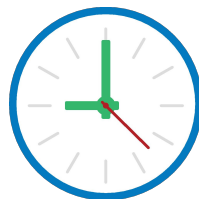
- **31%** were approved on the first pass within the required six months
- **43%** were placed into pending category requiring additional clarity or resolution of dependencies
- **14%** were rejected as not feasible
- **12%** were directed to community groups outside of ICANN's remit to approve or reject

Aspirational Goals for Future Reviews



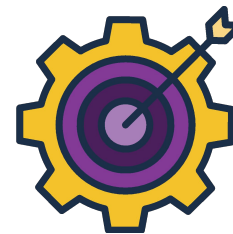
DURATION OF REVIEW
(conduct review phase)

TARGET
<12 MONTHS



**TIME FOR THE BOARD
TO ACT ON
REVIEW
RECOMMENDATIONS**

TARGET
<6 MONTHS



**BOARD APPROVAL OF
RECOMMENDATIONS**

TARGET
100%

Proposed Improvement Groupings

1

Redesign the process for **setting the scope** of a review and **review planning**.

2

Develop a **standardized process** for research, problem/opportunity identification, and recommendation development.

3

Develop processes and tools that enable **more robust review monitoring and community engagement** to bring greater accountability and transparency to the review process.

4

Implement a **continuous improvement effort** to facilitate ongoing improvements **to the reviews process**, with focus on effectiveness and efficiency.

Next Steps



Publication of second Thought Paper



Community engagement on proposed improvements

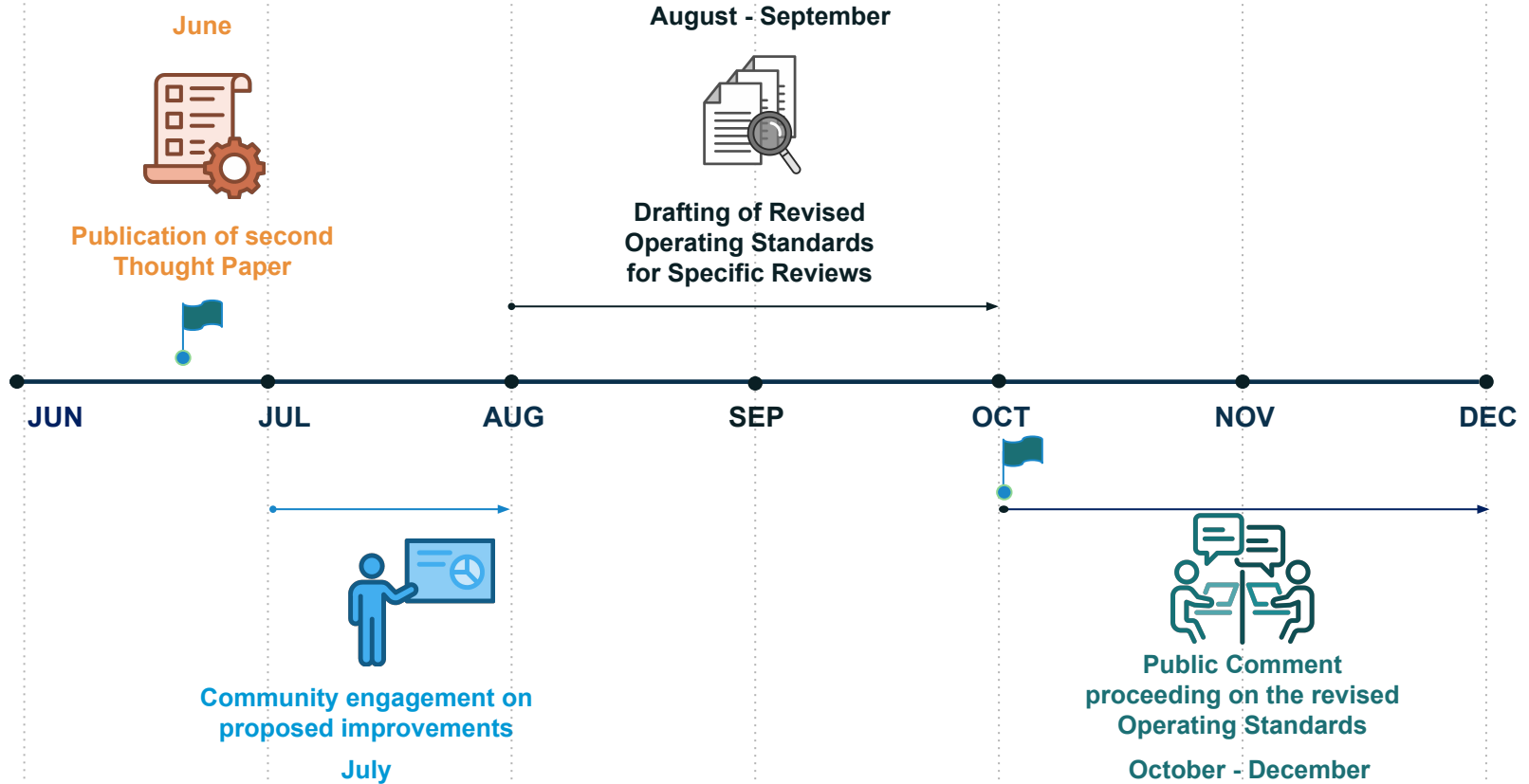


Drafting of Revised Operating Standards for Specific Reviews



Public Comment proceeding on Revised Operating Standards Draft

Lifecycle of Reviews Project Roadmap



Questions?



Opportunities for Community Participation and Input

- **Ongoing work of the Continuous Improvement Program Community Coordination Group (CIP-CCG)**, launched in [January 2024](#).
- **Call for Volunteers for the Pilot Holistic Review**, open through 19 June 2024.
- **Engagement sessions** with the ICANN community during ICANN80 to provide current status of Reviews Program.
- **Lifecycle of Reviews engagement sessions** in July 2024.
- **ICANN Public Comment** on the draft revisions to the Operating Standards for Specific Reviews (est. Oct 2024).
- **ICANN Public Comment** on the draft Continuous Improvement Program Framework (est. Nov 2024).



→ <https://www.icann.org/resources/reviews>

ICANN Specific Reviews Implementation Updates

Presenters:

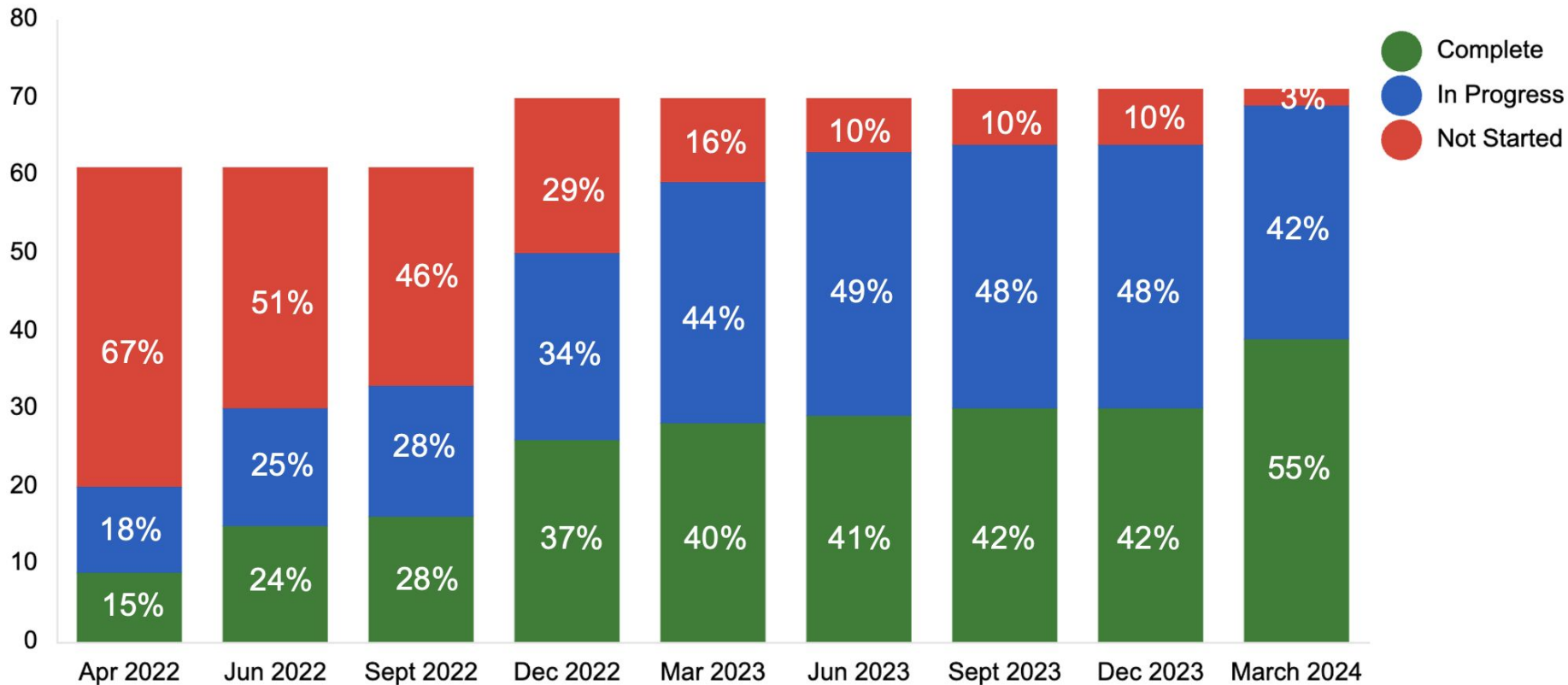
- Implementation Operations, OCFO

Status of Specific Reviews Recommendations

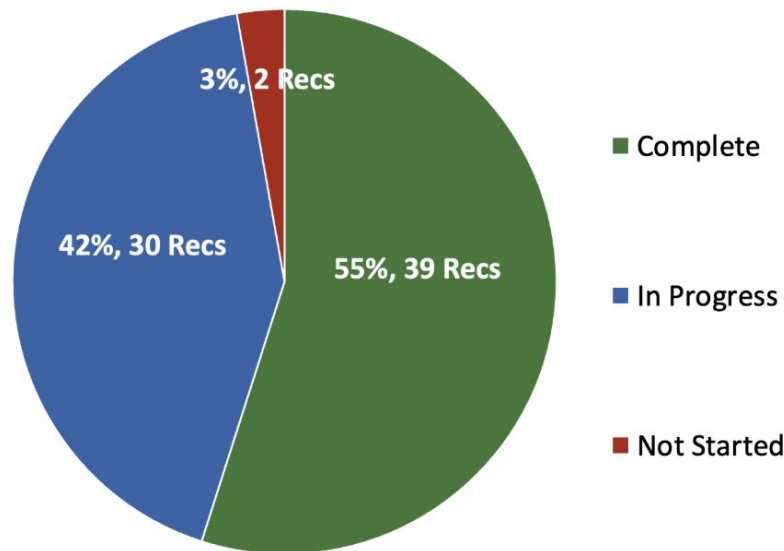
Review	# of Recs.	Approved (in whole or in part)*	Pending Board Consideration	Passed through (in whole or in part)*	Rejected
<i>Third Accountability and Transparency Review Team (ATRT3)</i>	15	15	N/A	N/A	N/A
<i>Competition, Consumer Trust, Consumer Choice Review (CCT)</i>	35	17	4	14	2
<i>Second Registration Directory Service Review (RDS-WHOIS2)</i>	22	15	N/A	2	6
<i>Second Security and Stability Resiliency of the DNS Review (SSR2)</i>	63	24	1	N/A	38
Total	135	71	5	16	46

*Two CCT Recommendations and one RDS-WHOIS2 Recommendation were approved in part and passed through to community group(s) in part, and are included in the numbering of both categories.

Specific Reviews Implementation - Progress Over Time



Status of Specific Reviews Implementation



Specific Reviews – Status of 71 Recommendations

ATRT3 (6 Recs.)

- Public input enhancements: [1.1](#), [1.2](#)
- ATRT2 implementation: [2](#)
- Reviews [3.1](#), [3.3](#)
- Prioritization/retirement process: [5](#)

CCT (5 Recs.)

- Data collection: [16](#), [17](#), [18](#),
- Subsequent Procedures [30](#), [31](#)

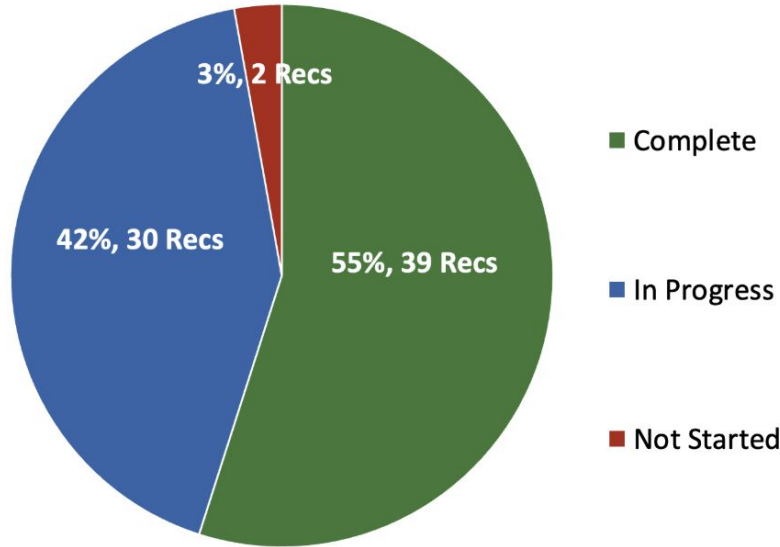
RDS-WHOIS2 (12 Recs.)

- Mechanism to monitor legislative/policy developments: [1.1](#), [1.2](#)
- Board activities on RDS: [1.3](#)
- RDS3: [10.2](#), [12.1](#)
- Common interface display: [11.2](#)
- Implementation reporting: [15.1](#)
- Data collection: [LE.1](#), [LE.2](#)
- Contracts: [SG.1](#)
- Registration data: [CC.2](#)
- Resourcing: [CC.3](#)

SSR2 (16 Recs.)

- Documentation of SSR related budgeting: [3.2](#), [3.3](#),
- Security Risk Management framework: [4.1](#)
- Information security management system: 5.1, 5.2
- External parties: [5.3](#)
- Business Continuity and Disaster Recovery plans: 7.1, 7.2, 7.3
- Compliance: [9.1](#), [13.2](#)
- DNS abuse webpage: [10.1](#),
- Access to Centralized Zone Data Service: [11.1](#)
- Web improvements: [16.1](#)
- EBERO: [24.1](#), [24.2](#)

Status of Specific Reviews Implementation



Specific Reviews – Status of 71 Recommendations

In Progress (30 Recs.)	<u>ATRT3:</u> (9 Recs.) - Reviews: 3.2, 3.4, 3.5, 3.6 - Strategic planning: 4.1, 4.2, 4.3, 4.4, 4.5
	<u>CCT:</u> (12 Recs.) - Data collection model: 1 - Data collection/studies: 6, 7, 8, 11, 13, 20, 21, 22, 23, 24, 26
	<u>RDS-WHOIS2:</u> (3 Recs.) - Web information/educational materials: 3.1 - Outreach: 3.2 - Contracts: CC.1
	<u>SSR2:</u> (6 Recs.) - SSR1 implementation: 1.1 - Reporting: 5.4 - Business Continuity and Disaster Recovery plans: 7.5 - Root Zone Management System: 21.1 - Reporting: 22.1 - DNSKEY algorithm rollover: 23.2
Not Started (2 Recs.)	<u>SSR2:</u> (2 Recs.) - Community feedback: 22.2 - DNSSEC Practice Statement: 23.1

Questions?



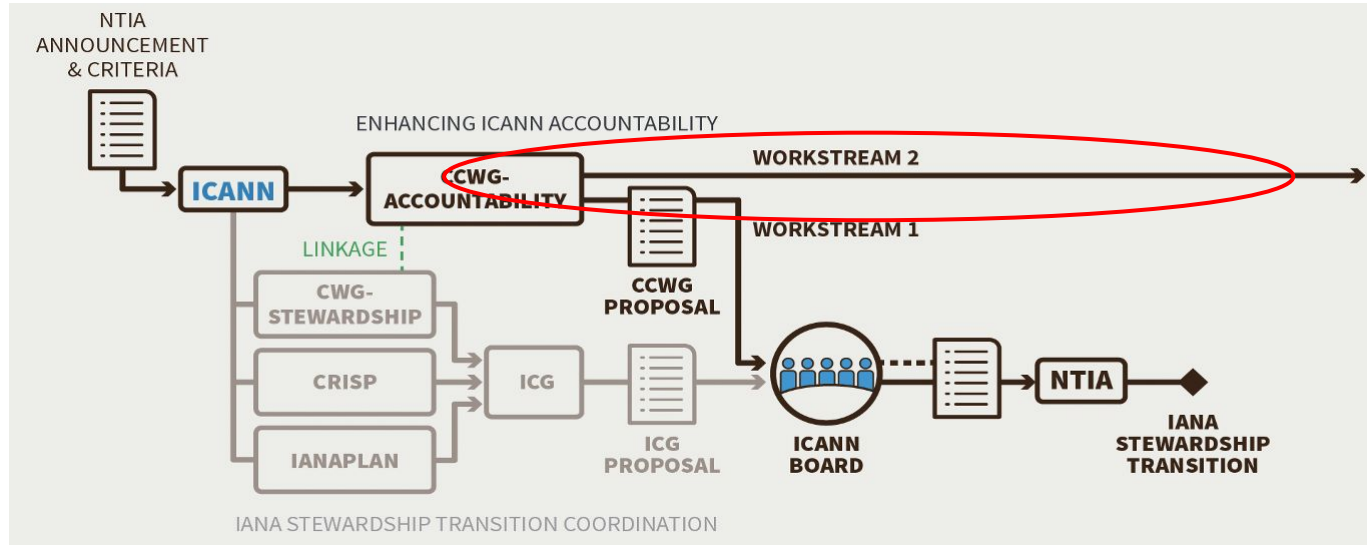
Work Stream 2 of Enhancing ICANN Accountability - Implementation Updates

Presenters:

- Implementation Operations, OCFO
- Policy Development Support

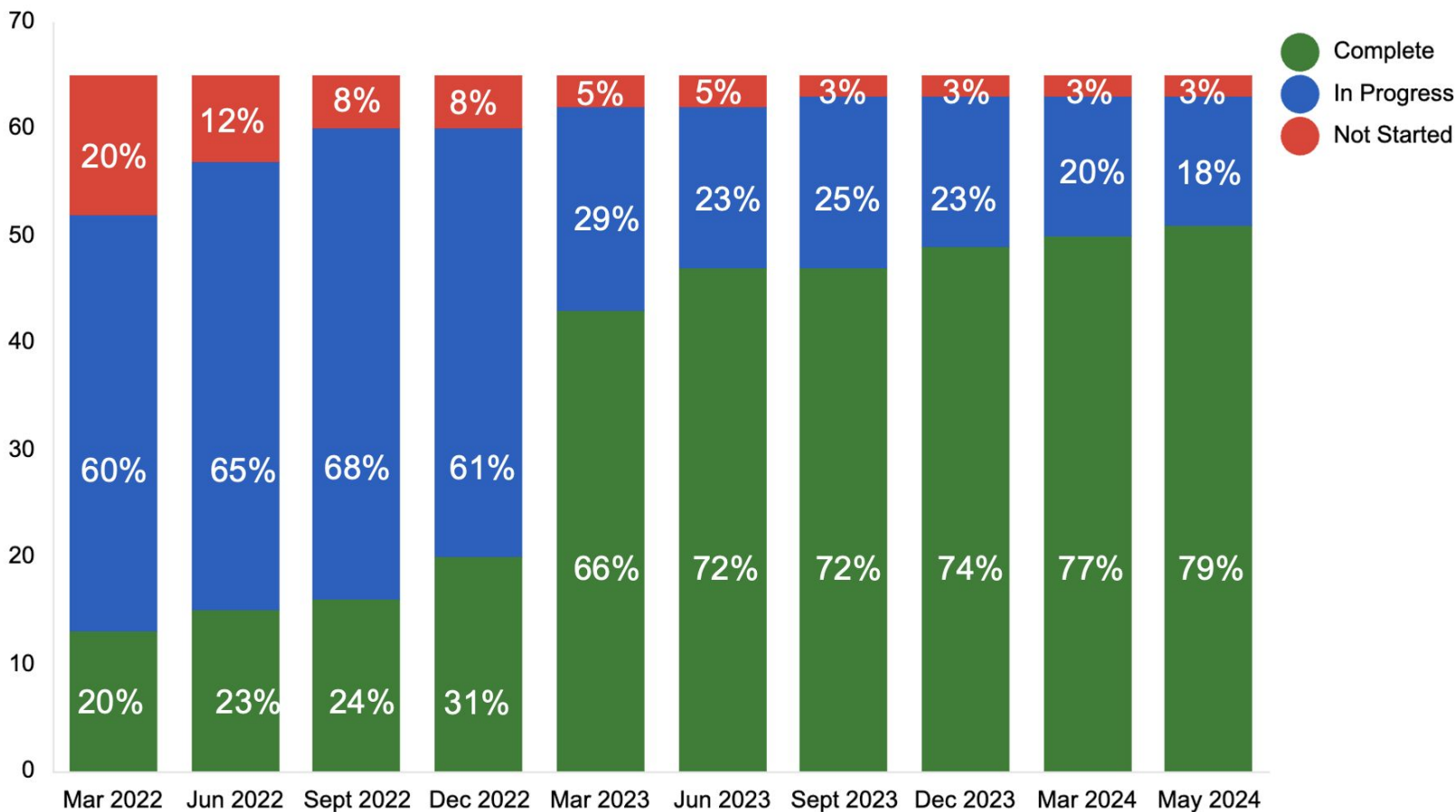
What is Work Stream 2?

WORK STREAM 1: Focused on mechanisms that must be in place or committed to within the timeframe of the IANA Stewardship Transition - **COMPLETE**

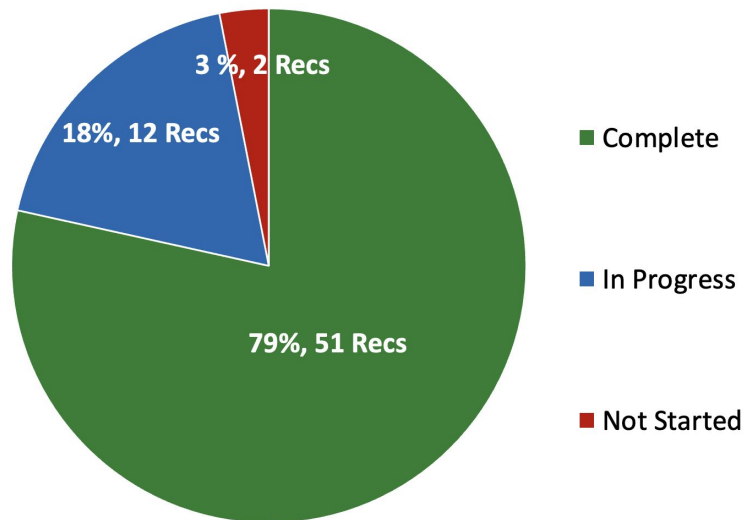


WORK STREAM 2: Focused on addressing accountability topics for which a timeline for developing solutions and full implementation may extend beyond the IANA Stewardship Transition - **DEVELOPING SOLUTIONS COMPLETE - IMPLEMENTATION IN PROGRESS**

Work Stream 2 - Org Implementation - Progress Over Time



Status of Org Implementation



WS2 Implementation – Status of 65 Recommendations (May 24)

Complete (51 Recs.)

Diversity: [1.1](#), [1.2](#), [1.3](#), [1.4](#), [1.5](#), 1.7, [1.6](#), [1.8](#)
 Human Rights Framework of Interpretation: [3.1](#)
 Jurisdiction: [4.1.1](#), [4.1.2](#), [4.1.3](#), [4.2](#)
 ICANN Office of the Ombuds (IOO): [5.6](#), [5.7](#)
 SO/AC Accountability: [6.1.7](#)
 Staff Accountability: [7.1.1](#), [7.1.2](#), [7.2.1](#), [7.2.2](#), [7.3](#)
 Transparency:

- ICANN's Documentary Information Disclosure Policy (DIDP): [8.1.1](#), [8.1.2](#), [8.1.3](#), [8.1.4](#), [8.1.5](#), [8.1.6](#), [8.1.7](#), [8.1.8](#), [8.1.9](#), [8.1.10](#), [8.1.11](#), [8.1.12](#), [8.1.13](#), [8.1.14](#), [8.1.15](#), [8.1.17](#), [8.1.18](#), [8.1.19](#), [8.1.20](#), [8.1.21](#)
- Documenting and Reporting on ICANN's Interactions with Governments: [8.2](#)
- Transparency of Board Deliberations: [8.3.1](#), [8.3.2](#)
- Improving ICANN's Anonymous Hotline (Whistleblower Protection): [8.4.1](#), [8.4.2](#), [8.4.3](#), [8.4.4](#), [8.4.5](#), [8.4.6](#), [8.4.7](#)

In Progress (12 Recs.)

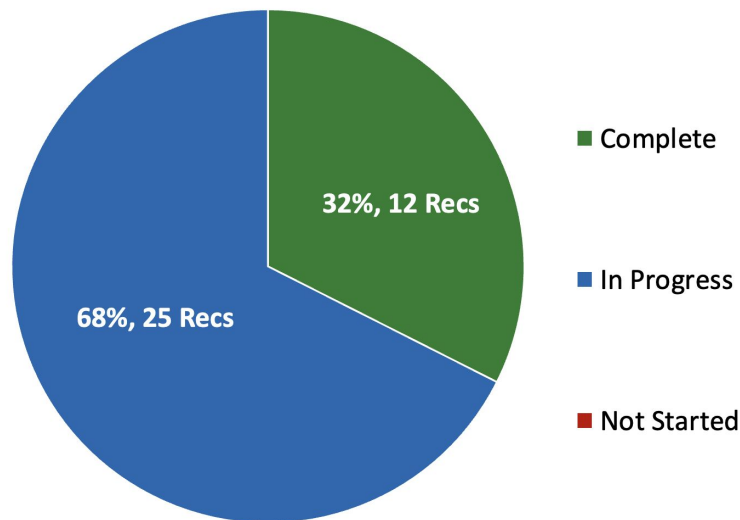
Jurisdiction: 4.1.4
 IOO: 5.1, 5.2, 5.4, 5.5, 5.9, 5.10, 5.11
 SO/AC Accountability: 6.3.6
 Transparency:

- DIDP: 8.1.16
- Transparency of Board Deliberations: 8.3.3
- Improving ICANN's Anonymous Hotline: 8.4.8

Not Started (2 Recs.)

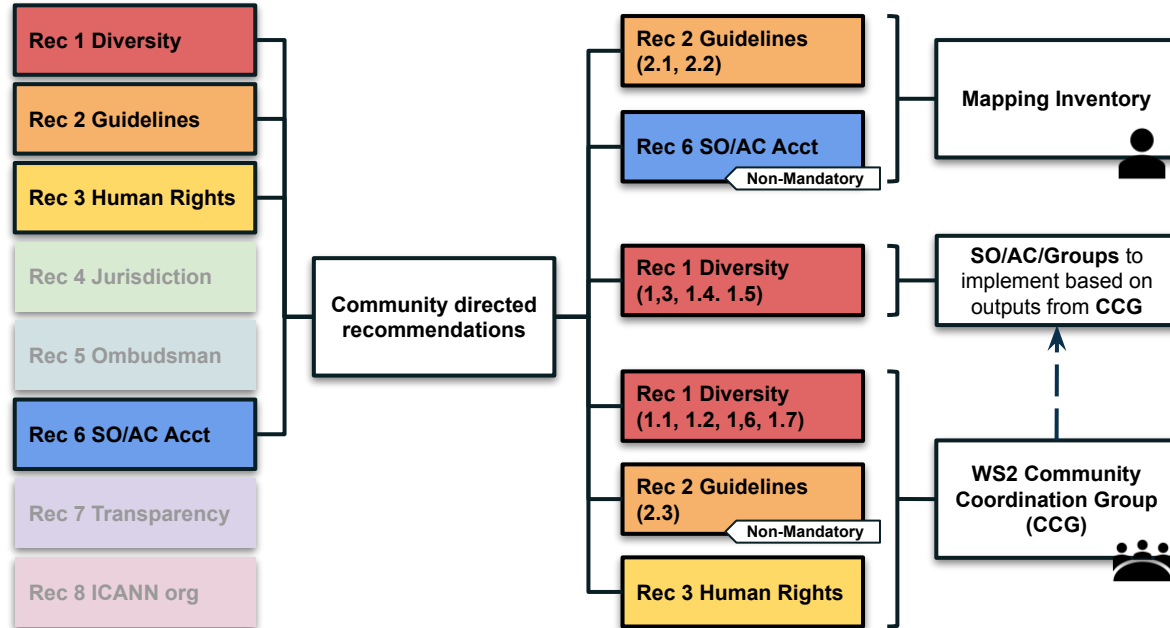
IOO: 5.3, 5.8

Status of Community Implementation



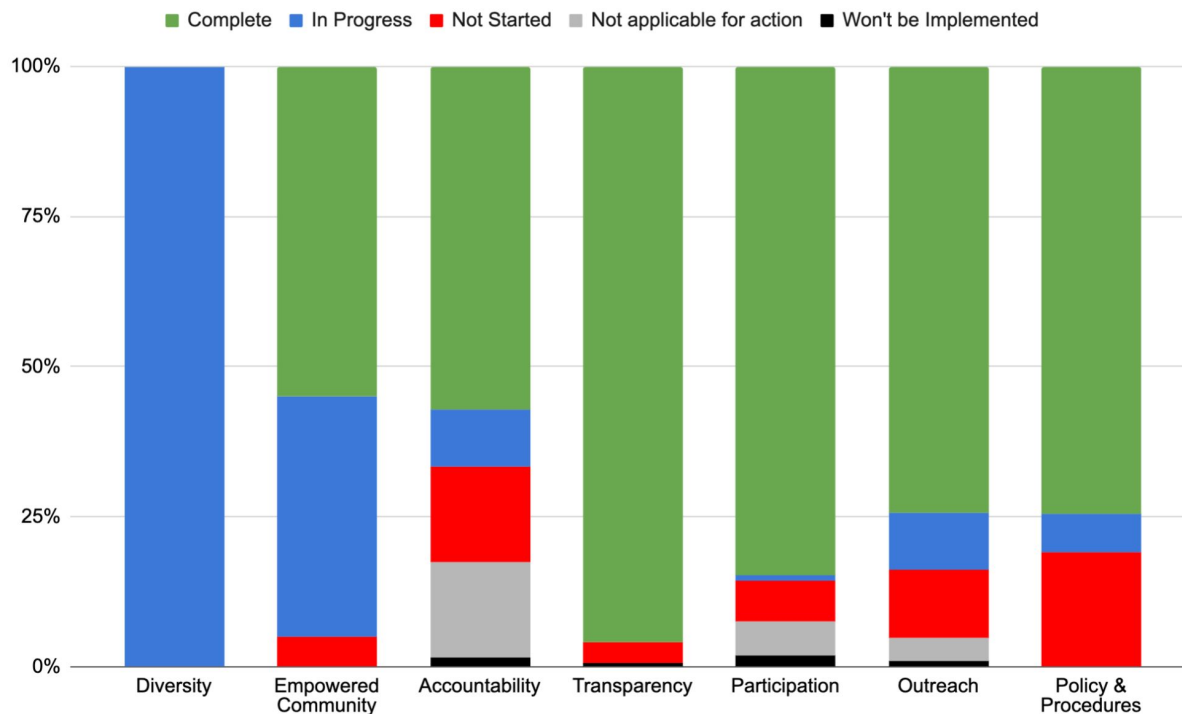
WS2 Implementation – Status of 37 Community Recommendations (May 24)	
<i>*co-owned with ICANN org</i>	
Complete (12 Recs.)	Diversity (2 Recs.): 1.1*, 1.7* Human Rights Framework of Interpretation (1 Rec.): 3.1* SO/AC Accountability (9 recs): • <u>Accountability</u>: 6.1.6 • <u>Transparency</u>: 6.2.1, 6.2.2, 6.2.3, 6.2.6, 6.2.7 • <u>Participation</u>: 6.3.1, 6.3.2, 6.3.4
In Progress (25 Recs.)	Diversity (4 Recs.): 1.2*, 1.3*, 1.4*, 1.5* Guidelines for Good Faith (3 Recs.): 2.1, 2.2, 2.3 SO/AC Accountability (18 Recs.): • <u>Accountability</u>: 6.1.1, 6.1.2, 6.1.3, 6.1.4, 6.1.5 • <u>Transparency</u>: 6.2.4, 6.2.5 • <u>Participation</u>: 6.3.3, 6.3.5, 6.3.7 • <u>Outreach</u>: 6.4.1, 6.4.2, 6.4.3, 6.4.4, 6.4.5 • <u>Update to Policies and Procedures</u>: 6.5.1, 6.5.2, 6.5.3
Not Started (0 Recs.)	N/A

WS2 Community Implementation



Status of Individual Community Groups' Implementation

- A repository of **Recommendations 1, 2, and 6** were created for each SO/AC/Group (21 groups in total).
 - Recommendation 2 only applies to the participants of Empowered Community (5 groups in total).
- Status of each recommendation was determined or is being determined by each community group supported by ICANN org.



Questions?





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Appendix

Reviews Resources and Information

Contact Review Support & Accountability: rsa-coordinators@icann.org

[ICANN.org Reviews](#)

[Enhancing ICANN Accountability: Reviews & Special Projects](#)

Additional Helpful Resources:

- [Public Webinar](#) on the Pilot Holistic Review (21 Aug 2023)
- [Public Comment](#) proceeding on revised Draft Terms of Reference for the Pilot Holistic Review (closed 27 November 2023)
- [ICANN Reviews Program Update and CEO Goal 11](#) Blog (3 Oct 2023)
- [The Lifecycle of Reviews Project: Evolving the Specific Reviews Process](#) (4 Oct 2023)
- [ICANN Launches the Continuous Improvement Program Community Coordination Group](#) (8 January 2024)
- [ATRT3 Recommendation 3.6 - Continuous Improvement Program](#) workspace (ongoing)
- Workspaces
 - [Continuous Improvement Program Workspace](#)
 - [Pilot Holistic Review Workspace](#)
 - [The Lifecycle of Reviews Project Workspace](#)

Pilot Holistic Review History

- **May 2020:** ATRT3 Review Team publishes [Final Report](#) with Rec 3.5 to create a Holistic Review
- **Nov 2020:** [Board directs](#) ICANN.org to initiate the first Holistic Review as a pilot
- **Jun 2022:** Community assigns high priority status for implementation of ATRT3 Rec. 3.6, Organizational Reviews deferred with full support of the community.
- **Aug 2022:** PHR [Terms of Reference](#) (ToR) Public Comment opened.
- **Sept 2023:** PHR Revised Draft ToR Public Comment opened.
- **Jan 2024:** Board agreed with OEC recommendation to proceed with the PHR, provided additional guidance to the Pilot Holistic Review Team via the Terms of Reference.
- **Apr 2024:** [Board decision](#) to initiate the PHR.
- **May 2024:** [PHR Call for Volunteers is announced](#) and application period opened.

CIP History

- **May 2020:** ATRT3 Review Team publishes [Final Report](#) with Rec 3.6 to evolve Organizational Reviews into a Continuous Improvement Program.
- **Nov 2020:** [Board directs](#) ICANN.org to implement ATRT3 Rec 3.6.
- **June 2022:** Community assigns high priority status for implementation of ATRT3 Rec. 3.6, Organizational Reviews [deferred](#) with full support of the community.
- **Sept 2023:** Proposal to form a CIP Community Coordination Group (CIP-CCG) to develop the draft CIP Framework.
- **Jan 2024:** ICANN launches the [CIP Community Coordination Group](#) (CIP-CCG).

Lifecycle of Reviews Project History

- **Sept 2022:** ICANN Org launches Lifecycle of Reviews Project
- **Oct 2023:** ICANN Publishes [Lifecycle of Reviews Thought Paper: Proposed Improvements to the Specific Reviews Process.](#)

Implementation Resources

	Specific Reviews	Enhancing ICANN Accountability - Work Stream 2
Quarterly Updates	✓ Quarterly updates	✓ Quarterly updates
ICANN.org	• ATRT Review • CCT Review • RDS Review • SSR Review	• Central page
Community wiki	• ATRT3 • CCT • RDS-WHOIS2 • SSR2	• Central page ○ Org implementation ○ Community implementation ■ WS2 Cross Community Work Group (CCG)