ICANN
ICANN | 53
Buenos Aires
21-25 JUNE 2015

AoC and Organizational Reviews: Supporting ICANN Accountability

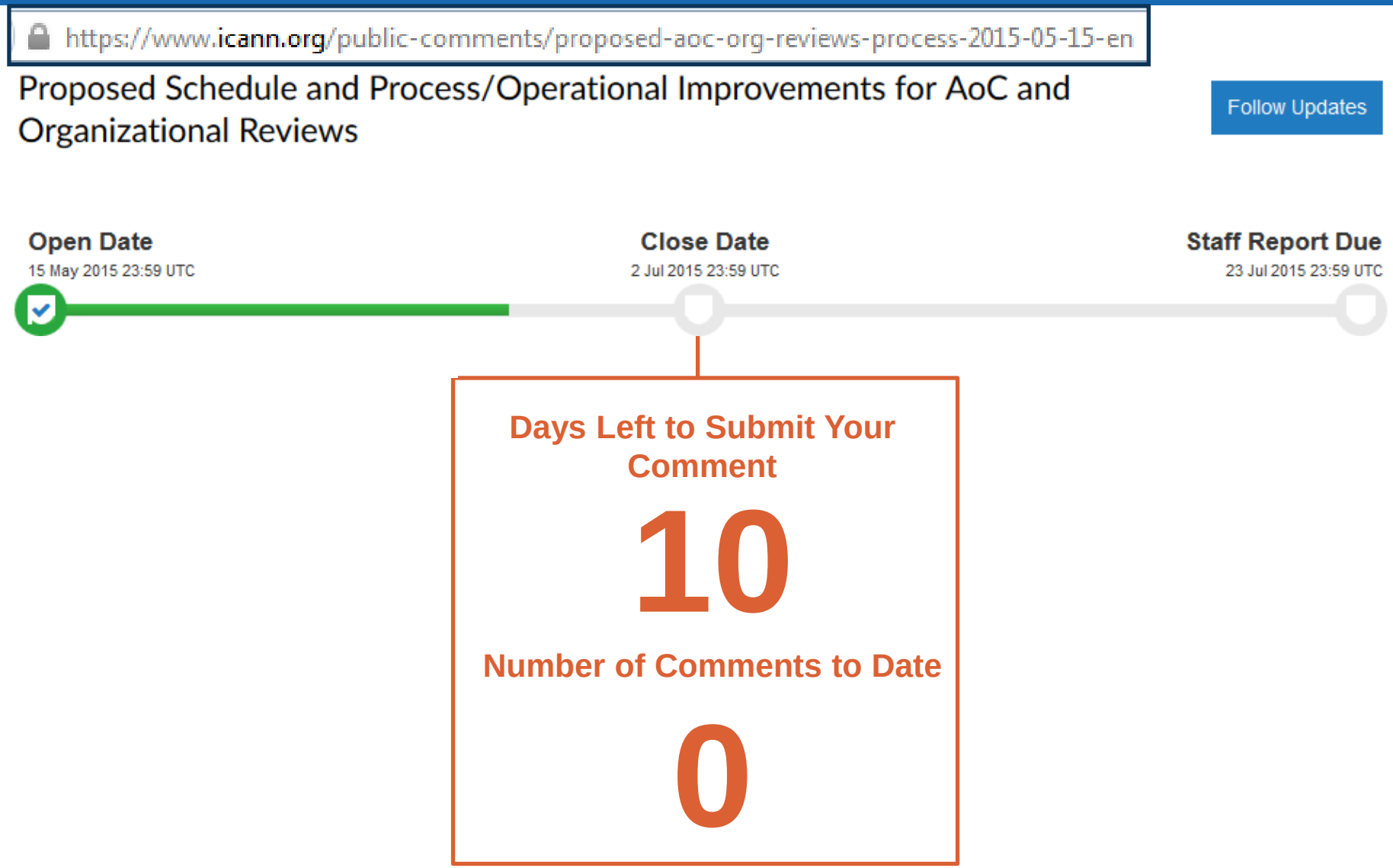
ICANN53 | 24 June 2015

Agenda

- Proposed Schedule and Improvements for AoC and Organizational Reviews
- AoC Reviews Implementation Update
- Upcoming AoC Reviews
- Organizational Reviews Update
- Discussion and Feedback

Proposed Schedule and Process/Operational Improvements for AoC and Organizational Reviews

Public Comment Forum



Key Elements of Proposal

1

Proposed Schedule

Three AoC Reviews and initial work on the At-Large Review are proposed for FY2016, and three Organizational Reviews would be deferred until FY2017.

2

Use Planning/Project Management Tools

Clear and focused Review scope, consistent budgeting, and cost tracking.

3

Streamline AoC Review Teams and Review Duration

Ensure that volunteers' skills and expertise are well aligned with the requirements for a given Review and modify terms of service to align with implementation planning.

4

Focus on Operational Effectiveness

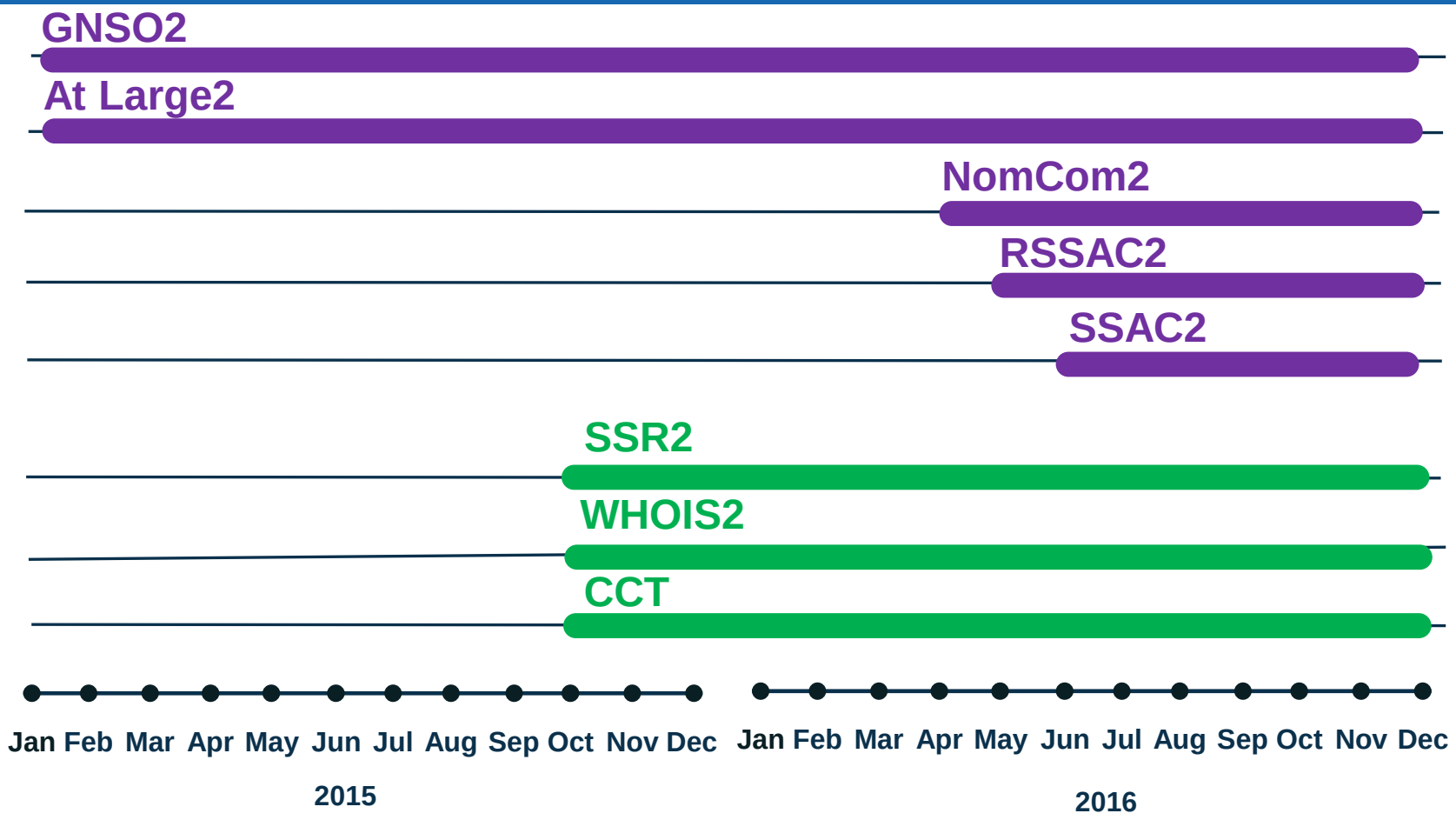
Include self-assessments and focused preparatory actions by the organization under review.

5

Alternative Process for Examination of Strategic Issues

Consider establishing an alternate process (to Organizational Reviews) to examine strategic issues such as the continued purpose of organizations.

Proposed Timeline* - AoC & Organizational Reviews



* Pending public comment and Board agreement. Any output of the CCWG Accountability recommendations will be factored into this timeline, if the immediate set of Reviews is affected.

Process Improvements

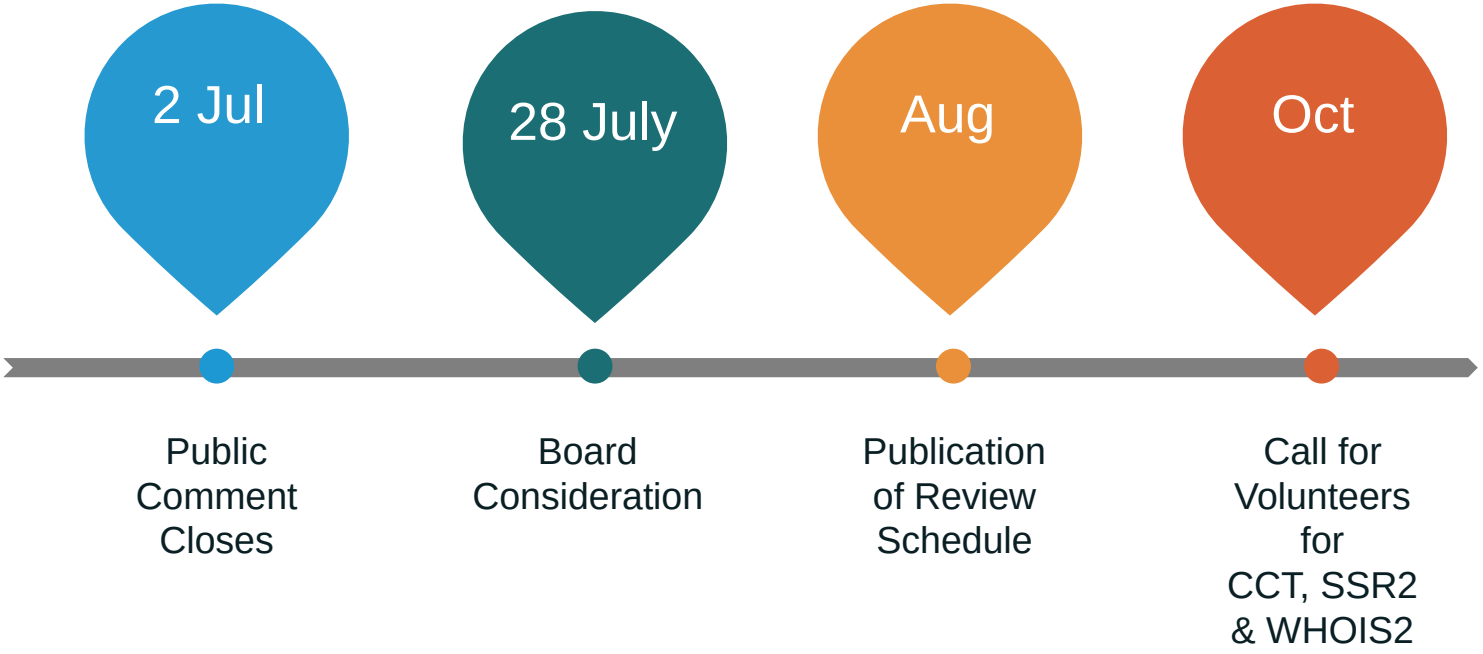
Underway

- ✓ Global standards of the Project Management Institute used in implementing improvements arising out of Reviews (piloted for ATRT2 implementation).
- ✓ Improved tracking, reporting and oversight of implementation progress (including centralized tracking and revamped icann.org webpage).
- ✓ Improved planning and resource/budget allocation prior to the start of the Reviews.

Considered by the Board

- ❑ Oversight of AoC Reviews to be assigned to an appropriate Board Committee or a subset of the Board, in parallel to SIC's responsibility for overseeing Organizational Reviews.

Next Steps



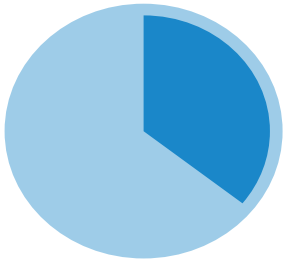
Next Steps

AoC Reviews Implementation Update

SSR Review Implementation Status

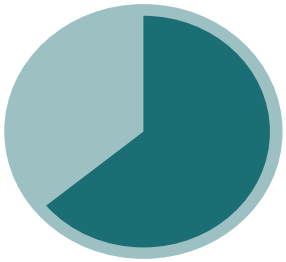
28 RECOMMENDATIONS

- **21 June 2012 – Review Team Recommendations received**
- **18 Oct 2012 – Board instruction to implement**



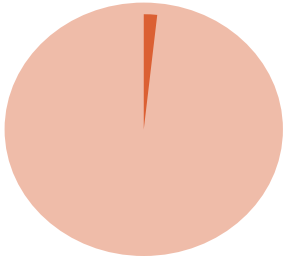
54% Complete

15 Recommendation implementation projects *completed*, part of standard operations



46% In Progress

13 Recommendation implementation projects *in progress**



0% Planning

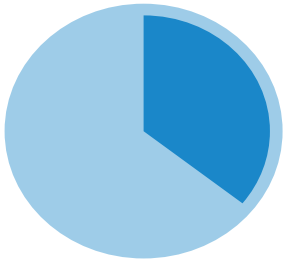
0 Recommendation implementation in *planning*

* See Implementation Status Report for details: https://www.icann.org/resources/pages/accountability/accountability-en

WHOIS Review Implementation Status

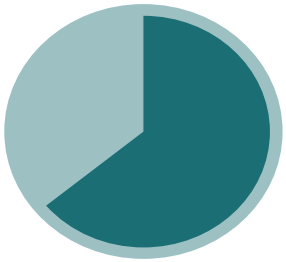
16 RECOMMENDATIONS

- **11 May 2012 – Review Team Recommendations received**
- **8 Nov 2012 – Board instruction to implement**



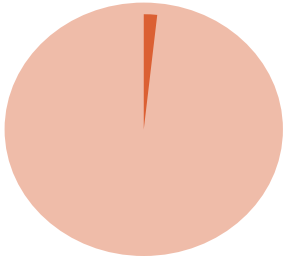
57% Complete

9 Recommendation implementation projects *completed*, part of standard operations



37% In Progress

6 Recommendation implementation projects *in progress**



6% Planning

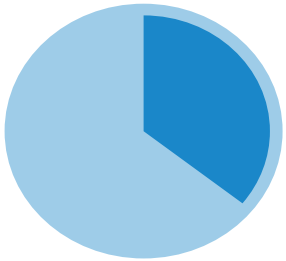
1 Recommendation implementation in *planning*

* See Implementation Status Report for details: https://www.icann.org/resources/pages/accountability/accountability-en

ATRT2 Review Implementation Status*

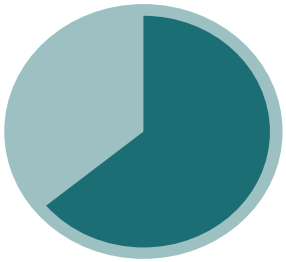
12 RECOMMENDATIONS

- **31 Dec 2013 – Review Team Recommendations received**
- **26 Jun 2014 – Board instruction to implement**



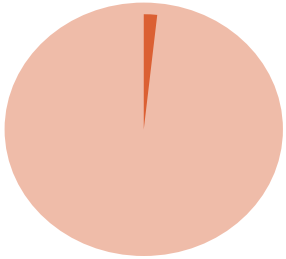
0% Complete*

0 Recommendation implementation projects *completed*, part of standard operations



100% In Progress

12 Recommendation implementation projects *in progress**



0% Planning

0 Recommendation implementation in *planning*

* See Implementation Status Report for details: 115 milestones – 43% complete, 57% in progress https://www.icann.org/resources/pages/accountability/accountability-en

Upcoming AoC Reviews

The Affirmation of Commitments

Scope: Review examines the extent to which new gTLDs have 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

Recurring Reviews: 1 yr after New gTLDs in operation, 2 years later, and then at least every 4 yrs

Outcome: Recs sent to Board, which acts within 6 mo**.** Implementation or if necessary, GNSO PDP follows Board action

Composition of Review Team - AoC

The reviews will be performed by volunteer community members … and will include the following (or their designated nominees):

- GAC Chair
- ICANN CEO
- Relevant SO/ACs representatives
- Independent Experts

The RT Composition will be agreed jointly by the GAC Chair (in consultation with GAC members) and the ICANN CEO

Consumer Choice, Competition & Trust Review of New GTLD Program

Community Metrics

- Board Approved in Singapore
- Online Portal to Display Data

Consumer Survey

- **Nielson Firm**
- Baseline findings available
- Follow-up 1 year

Economic Survey

- **The Analysis Group**
- Examining Price & Competition
- Survey to be done Jun 2015

Selection of Team

- GAC Chair/ICANN CEO
- SO/AC Reps
- Independent Experts

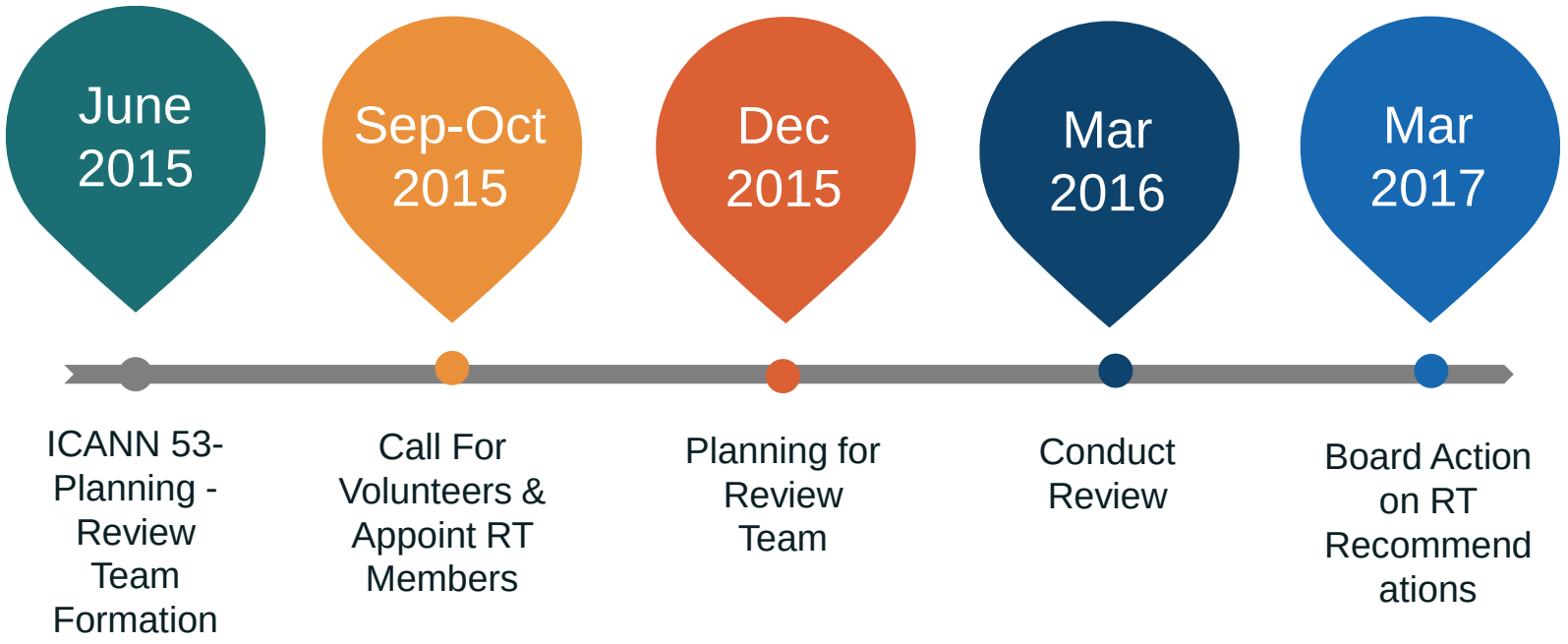
Community Issues

- Size of Team & diversity among SO/AC/C
- Community Bandwidth

Other Issues

- Relationship to other reviews & processes related to new gTLDs
- Consistency with direction of Accountability Track

CCT Review Timeline & Milestones



Estimated Timeline for the Consumer Choice, Competition and Trust Review Team Under the AoC

Organizational Reviews Update

Organizational Reviews

1

Objective

Comply with Bylaws
Examine organizational effectiveness

2

Review Working Party

Designated by Organization under review
Serves as a liaison between the SIC, the organization under review, ICANN Stakeholders and Examiner

3

Independent Examiner

Selected by competitive bid, based on set criteria
Tightly scoped contract

4

Work Methods

Examine documentation, records, reports; observe
360 Assessment – online survey
Limited interviews

5

Criteria

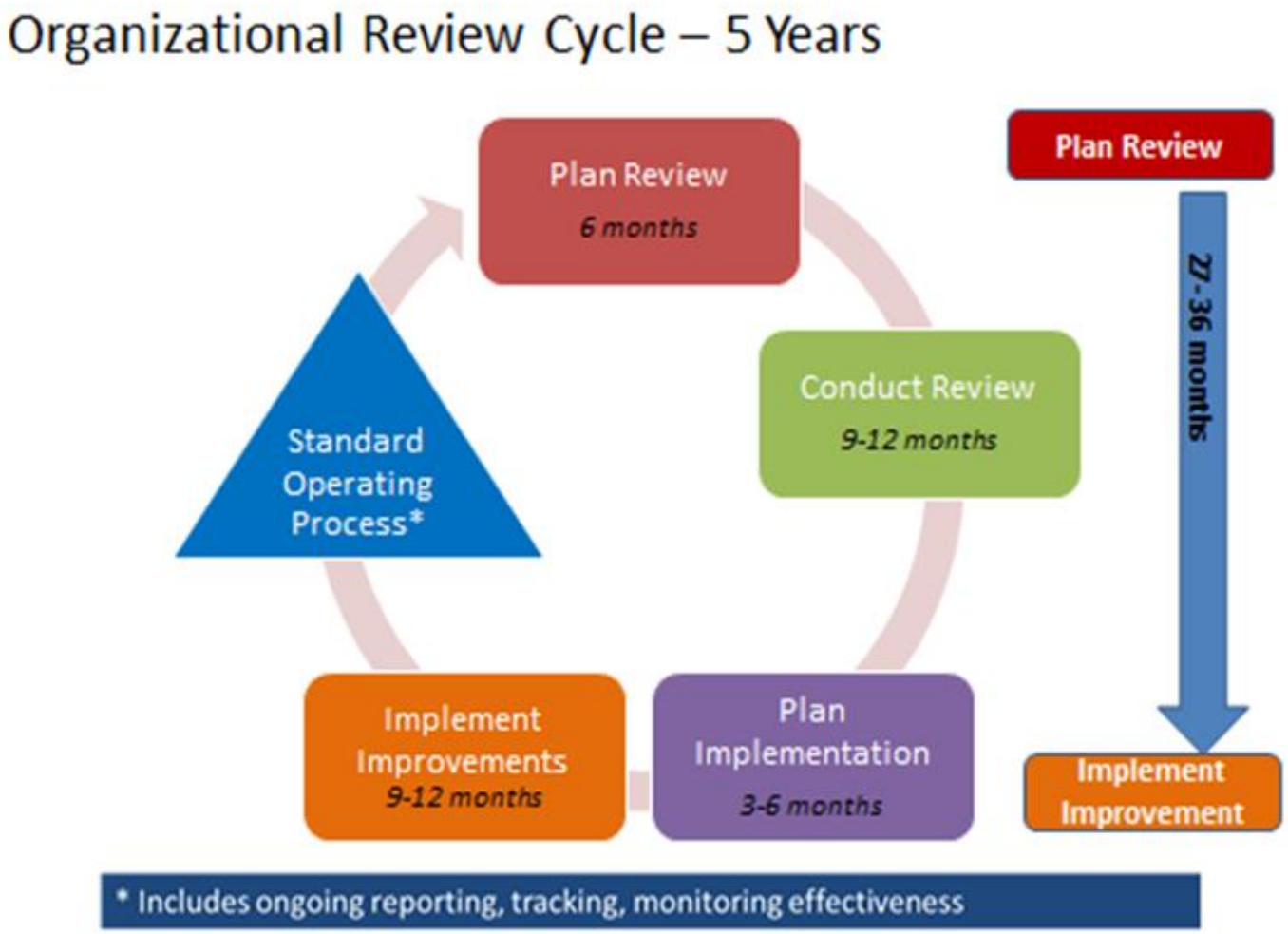
Objective and quantifiable, consistently applied

6

Continuous Improvement

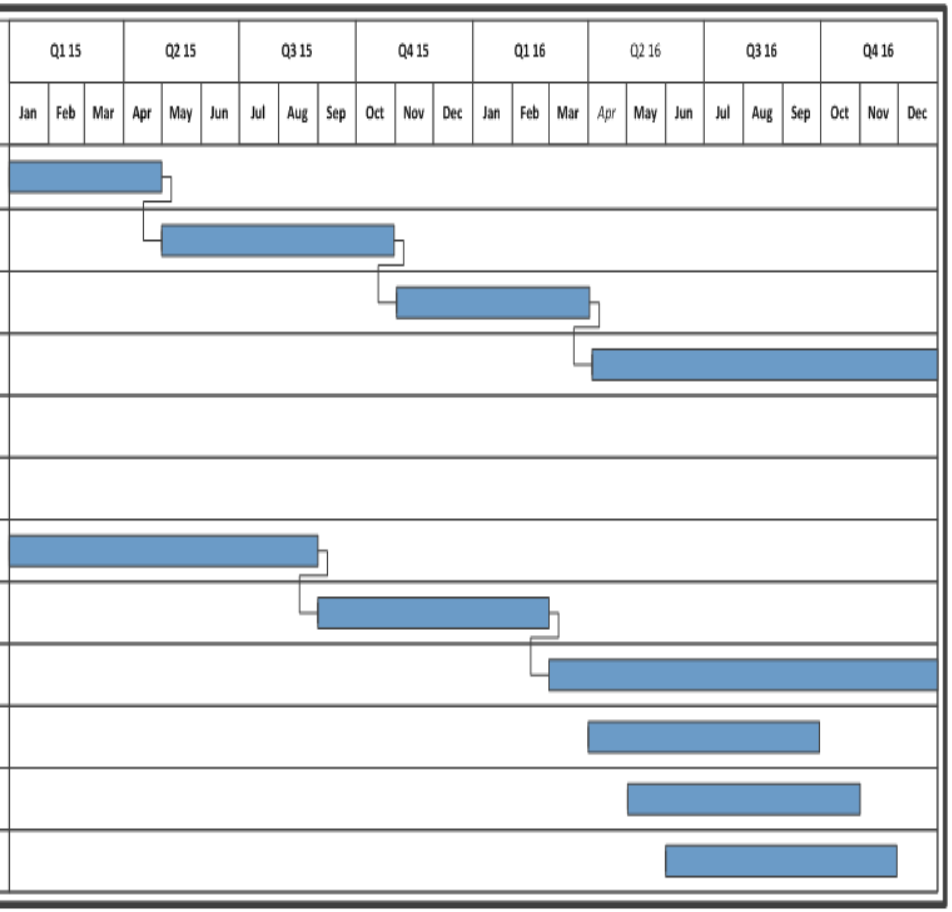
Apply lessons learned from prior reviews
Leverage best practices

Organizational Review Cycle



Proposed Timeline

ID	Review	Task Name	Start	Finish
1	**At-Large2**	Plan Review	1/1/2015	4/30/2015
2	At-Large2	Conduct Self-Assessment	5/1/2015	10/30/2015
3	At-Large2	Conduct Competitive Bidding	11/2/2015	4/1/2016
4	At-Large2	Conduct Review	4/4/2016	1/3/2017
5	At-Large2	Plan Implementation	1/4/2017	7/5/2017
6	At-Large2	Implement Improvements	7/6/2017	1/3/2018
7	**GNSO2**	Conduct Review	7/1/2014	8/31/2015
8	GNSO2	Plan Implementation	9/1/2015	2/29/2016
9	GNSO2	Implement Improvements	3/1/2016	2/28/2017
10	**NomCom2**	Plan Review	4/1/2016	9/29/2016
11	**RSSAC2**	Plan Review	5/2/2016	10/31/2016
12	**SSAC2**	Plan Review	6/1/2016	11/29/2016



Roles and Responsibilities

Review Working Party

- Conduct self-assessment
- Assist with tailoring review methodology
- Assist with outreach and engagement
- Input into data collection – online assessment and Interviews
- Provide clarification and factual corrections
- Prepare Review Implementation Plan

Independent Examiner

- Assess effectiveness of prior review improvements
- Review of documents, records
- Observe proceedings
- Develop and conduct 360 Assessment
- Conduct interviews
- Prepare report
- Engage with stakeholders for clarification and correction

SIC

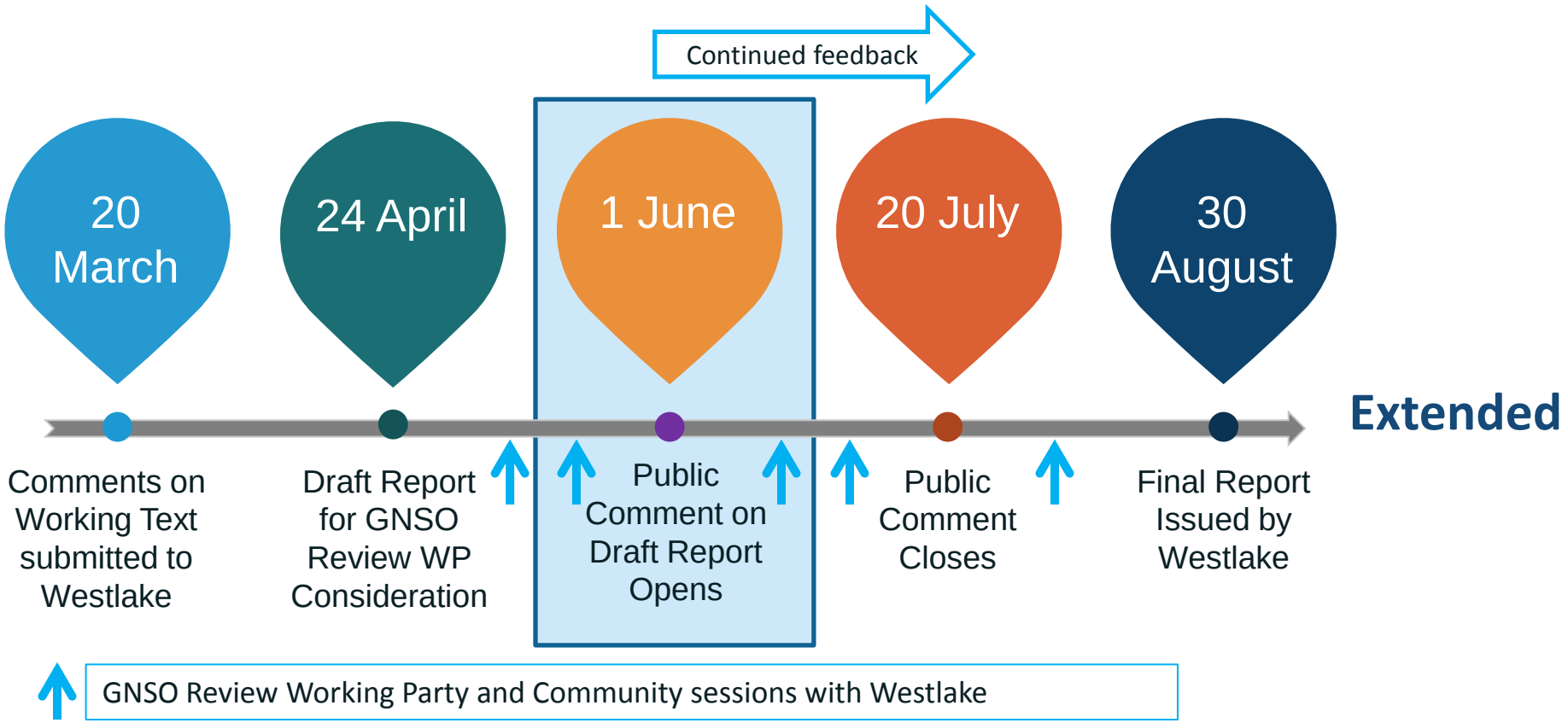
- Oversight
- Scope of review
- Confirm Independent Examiner
- Accept Report*
- Approve Plans*

*Prepare Recommendations for Board Action

Staff

- Prepare RFP
- Run competitive bidding process
- Monitor timeline and resources
- Support review
- Support outreach and engagement
- Manage report and public comment process
- Prepare Review Implementation Plan

GNSO Review Timeline – Next Steps



Highlights:

- ✓ Comments from the Working Party were submitted to Westlake and have been incorporated into the Draft Report posted for Public Comment on 1 June.
- ✓ Timeline has been extended to include multiple additional opportunities for the GNSO Review Working Party to **continue the ongoing process of providing feedback to Westlake**

Overall Themes and Draft Recommendations

36 recommendations under 4 Themes

1 **Participation and Representation**
- 16 recommendations

2 **Continuous Development (including PDP)**
- 14 recommendations

3 **Transparency**
- 4 recommendations

4 **Alignment with ICANN's Future**
- 2 recommendations

Community Engagement

10
Sessions at
ICANN53

Communications:
Blog
Video
Social Media

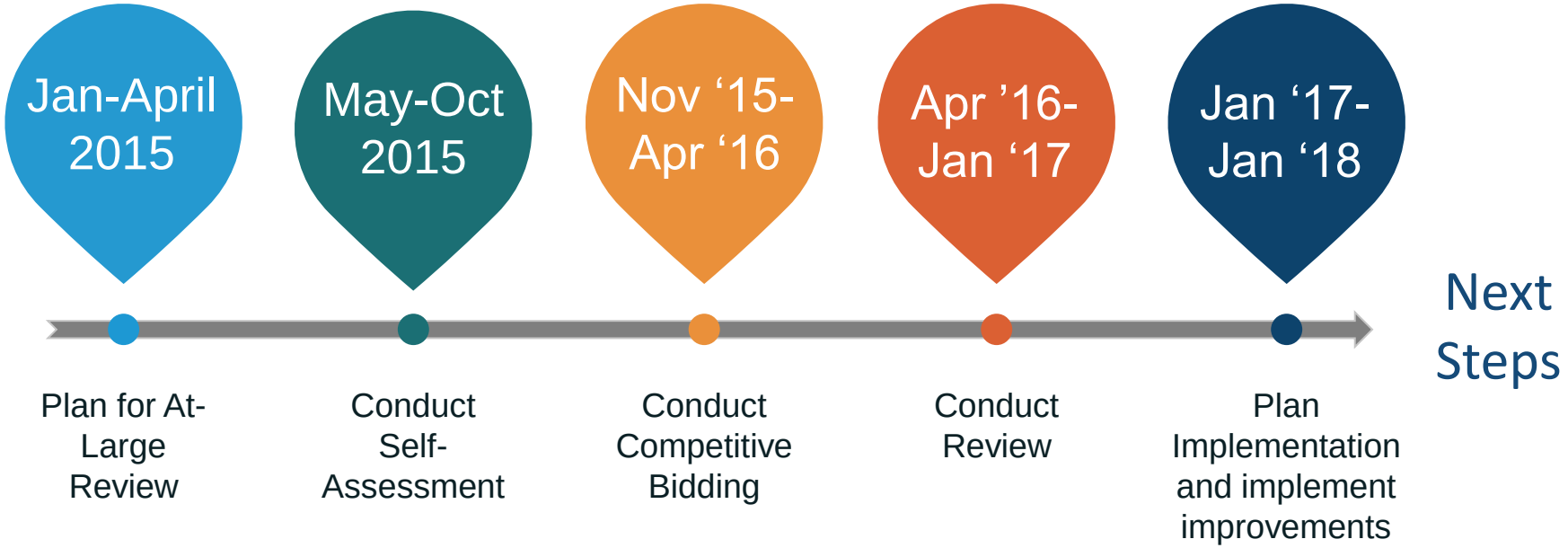
Template to
Facilitate Public
Comment
Responses

Initial Feasibility
Assessment of
Proposed
Recommendations

Planning Ahead
to
Implementation
Phase

Continued
Feedback from
Working Party

At-Large Review: Proposed Timeline



- At-Large Review Working Party assessing whether improvements resulting from 2009 review have been effective
- The At-Large Review Preparatory Questions are posted on the wiki.

Discussion and Feedback

Discussion Topics

1. Views on proposed Review schedule

2. Views on proposed process/operational improvements
3. General feedback pertaining to Reviews

Resources

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

Visit session details page for links to additional information: (https://buenosaires53.icann.org/en/schedule/wed-aoc-org-reviews)

- Public Comment on Proposed Schedule and Process/ Operational Improvements to AoC and Organizational Reviews
- SSR Implementation Status
- WHOIS Implementation Status
- ATRT2 Implementation Status
- GNSO Review Community Wiki
- At-Large Review Community Wiki

Thank You