



# AoC and Organizational Reviews

Supporting ICANN Accountability

9 February 2015

# Agenda

- ⦿ **Introduction**
- ⦿ **AoC Reviews** – implementation status; Competition, Consumer Choice & Consumer Trust
- ⦿ **AoC Reviews** – timing & process improvement
- ⦿ **Organizational Reviews** – status, timing & process improvement
- ⦿ **Discussion & feedback**
- ⦿ **Next steps**

# Reviews Introduction

1

## Reviews: One of Many ICANN Accountability Mechanisms

- Mandated: Affirmation of Commitments & Bylaws
- Significant implications for ICANN Stakeholders

2

## Update on Status of AoC Reviews and Implementation of Improvements

- SSR, WHOIS, ATRT2
- Competition, Consumer Choice & Trust

3

## Review and Discuss Proposed Improvements and Schedule

- ATRT2 Recommendations to improve review process
- Proposed schedule for next cycle – SSR2 and WHOIS2

4

## Get Feedback from Community

- Impact on ICANN stakeholders, resources
- Inform the Board; implications for FY16 Budget

The background of the slide is a solid orange color. Overlaid on this is a stylized world map. The map is constructed from a network of small white dots connected by thin white lines, creating a mesh-like structure that outlines the continents. The text is centered over the map.

# Affirmation of Commitments Reviews

# AoC Reviews –Implementation Status

## SSR

- Completed – 19 | In process - 9
- Reassessment of approach to some projects

## WHOIS

- Completed - 9 | In process - 6 | Planning – 1
- Dependent on community policy and technical protocol development – 4
- Work underway, relate to the ARS - 3

## ATRT2

- Planning completed | In process - 12
- PMI standards to achieve excellence
- Roles and responsibilities
- Project budgets and resources

# ATRT2 Implementation Highlights

## Board Performance

- Skills assessment & training
- Compensation assessment & benchmarking

## Policy | Implementation

- GNSO WG Initial Report for Public Comment

## Decision Making Transparency

- Public comment improvements
- Redaction log pilot
- Comprehensive document of redaction policies & practices

## Multilingualism

- Terminology data base
- Localization expert
- Improve delivery time and quality through internal Language Services portal

## AoC Reviews Effectiveness

- Predictable schedule of review activities
- Process improvements

## Financial Accountability & Transparency

- Strategic plan synchronized with 5-Year Operating plan and Annual Budget

# Preparation for Competition, Consumer Choice & Consumer Trust Review (CCT)

- ⊙ IAG-CCT formed to discuss 70 GNSO- and ALAC-recommended metrics
  - ⊙ Interim recommendation approved March 2013 for consumer survey and economic study
  - ⊙ Final report under Board consideration
  - ⊙ Recommends data collection for several additional metrics



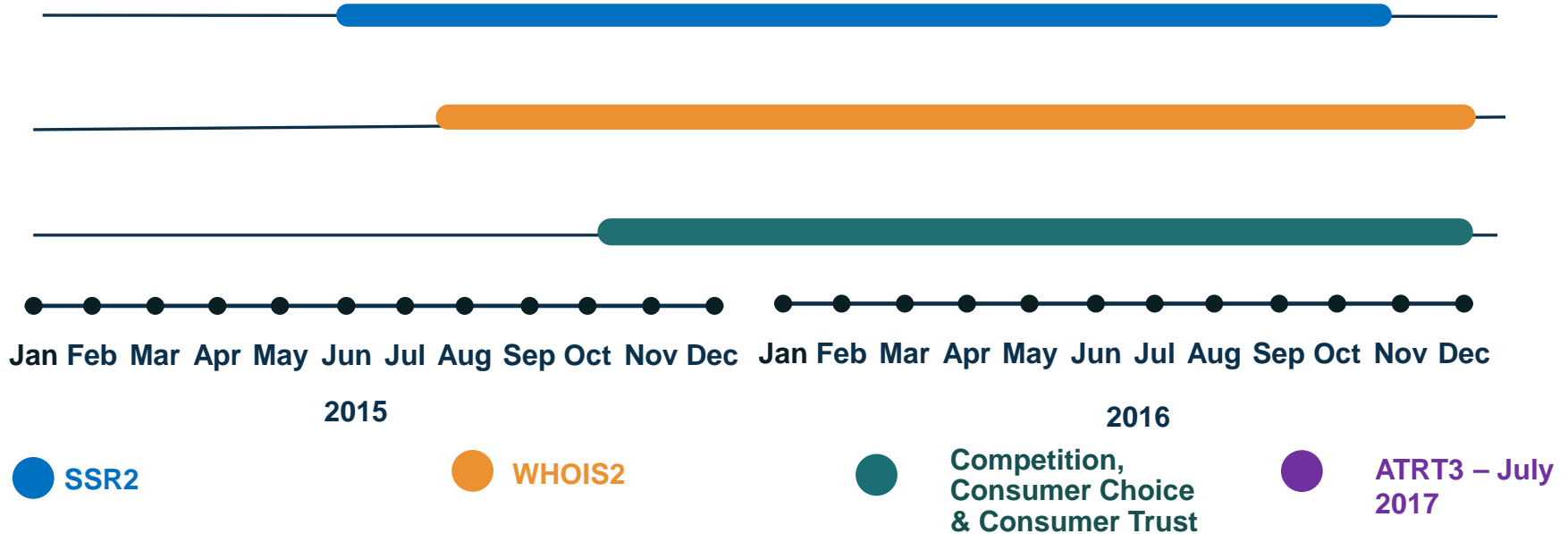
# Preparation for CCT Review – *Consumer Survey*

- ⊙ Global survey to assess perceptions of consumer trust and consumer choice
- ⊙ Design phase of survey completed
  - ⊙ Survey fielding underway
- ⊙ Follow-on survey to take place one year later
- ⊙ **Upcoming milestones:**
  - ⊙ Completion of survey phase **Q1 2015**
  - ⊙ Baseline data available **Q2 2015**

# Preparation for CCT Review – *Economic Study*

- ⊙ Economic study of pricing, innovation, and marketing practices in new gTLDs
- ⊙ Contracting with a qualified provider in process
- ⊙ Study targeted to begin in **Q1 2015**
- ⊙ Follow-on study to take place one year later
- ⊙ **Registry/registrar input on metrics related to economic study requested**
  - ⊙ Data to be provided directly to selected firm and will be aggregated and anonymized
- ⊙ **Upcoming milestones:**
  - ⊙ Baseline draft by **Q2 2015**

# AoC Reviews: Proposed Timeline\*



\* Pending community discussion and Board agreement

## Process Improvements for next cycle

- ❑ Use volunteer time and ICANN resources more efficiently
- ❑ Add predictability and consistency to stakeholder participation and feedback
- ❑ Allocate more time for planning within each phase of the review
- ❑ Facilitate interaction between all parties to result in feasible and implementable recommendations delivered on schedule and within budget



## Examples

- ✓ Publication of anticipated schedule, time commitment in the call for volunteers.
- ✓ Timely Staff updates on progress of recommendation implementation
- ✓ Clearly articulated review budget and rationale available at the start of the review
- ✓ Early engagement between the Review Team and ICANN leadership to address scope, issues and dependencies impacting the review
- ✓ Project management discipline

The background of the slide is a solid orange color. Overlaid on this is a stylized world map. The map is constructed from a network of small white dots connected by thin white lines, creating a mesh-like structure that follows the general outline of the continents. The text 'Organizational Reviews' is centered horizontally and vertically over the map.

# Organizational Reviews

# Overview of Organizational Reviews

## Objective

- Comply with requirements of ICANN Bylaws - examine organizational effectiveness
- Apply lessons learned from prior reviews

## Independent Examiner

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

## Working Party

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

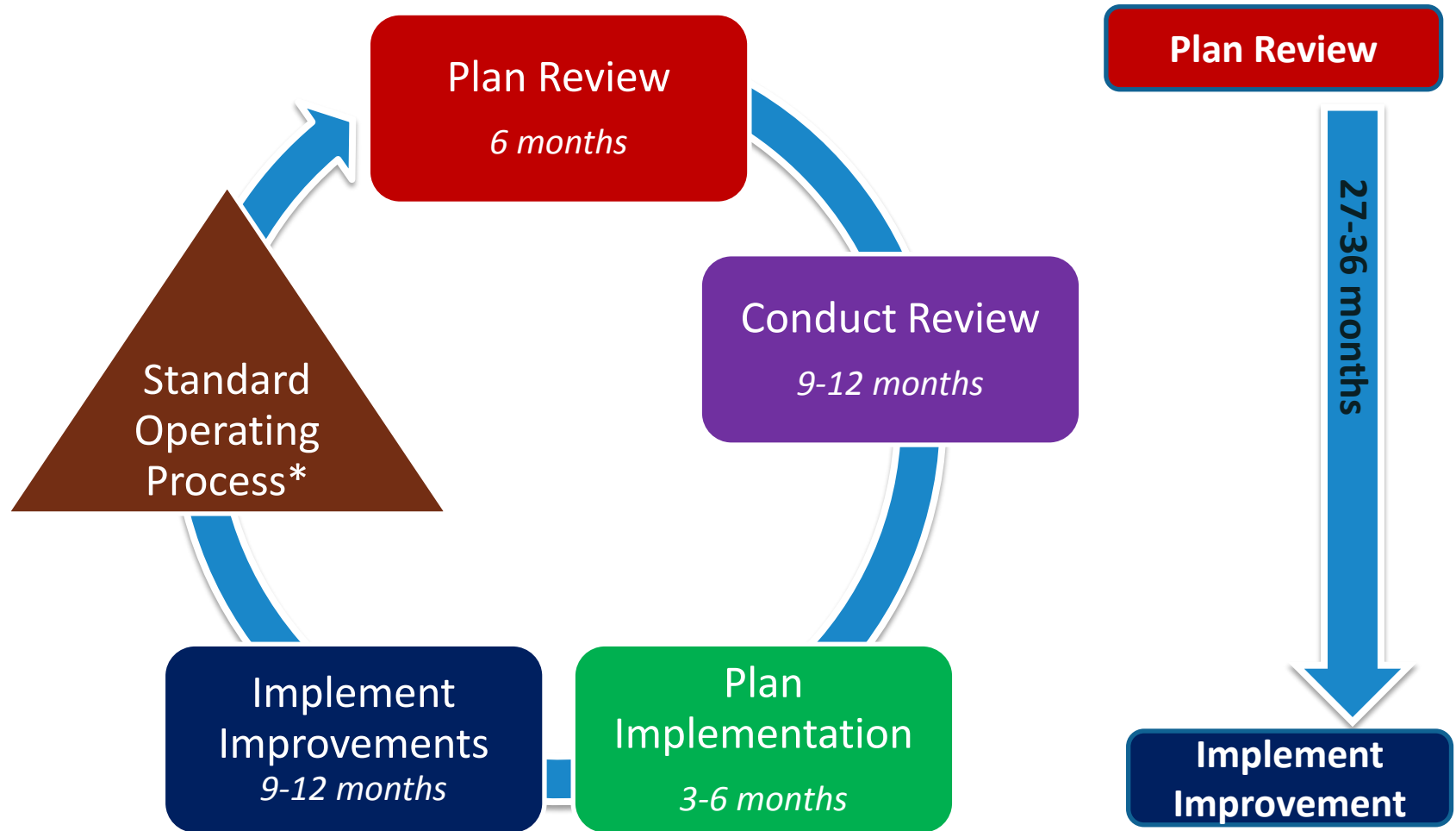
## Work Methods

- Examine documentation, records, reports; observe
- 360 Assessment – online tool
- Limited Interviews

## Review Criteria

- Objective and quantifiable, selected from developed lists

# Organizational Review Cycle – 5 Years



\* Includes ongoing reporting, tracking, monitoring effectiveness

# Organizational Review Process

## Review

- Examination of documents and records, observation
- Results of implementation of prior Review Recommendations
- 360 Assessment
- Interviews

## Report

- Working text
- Clarification and correction
- Draft Report
- Public Comment
- Final Report
- Board Accept

## Implementation Plan

- Prepare and Coordinate Implementation Plan
- Board Approval



# Roles and Responsibilities

## SIC

- Oversight
- Accept Report\*
- Approve Plans\*

## Staff

- Prepare RFP
- Run Examiner Selection
- Monitor Process
- Support Examination
- Support outreach and engagement
- Manage Report Process
- Prepare Review Implementation Plan

## Independent Examiner

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

## Review Working Party\*\*

- Assist with outreach and engagement
- Coordinate 360 Assessment
- Coordinate Interviews
- Provide clarification and corrections
- Prepare Review Implementation Plan

\*Prepare Recommendations for Board Action

\*\* Formed by Organization under Review

# GNSO Review Update

## 360 Assessment

- 178 completed online questionnaire
- 300 started
- 60% completion rate

## Interviews

- Nearly 35 one on one interviews

## Review & Observation

- Documents, transcripts
- Proceedings – ICANN50-52
- ICC report commissioned by ATRT2

## WP Meetings

- 13 GNSO Working Party Meetings
- 20 GNSO members

## Outreach

- 3 webinars
- 14 presentations
- 2 blogs + 2 videos
- 3,000 brochures & postcards

## Engagement

- 1,709 views of Announcements
- 2,957 blog views
- 446 visits to community wiki

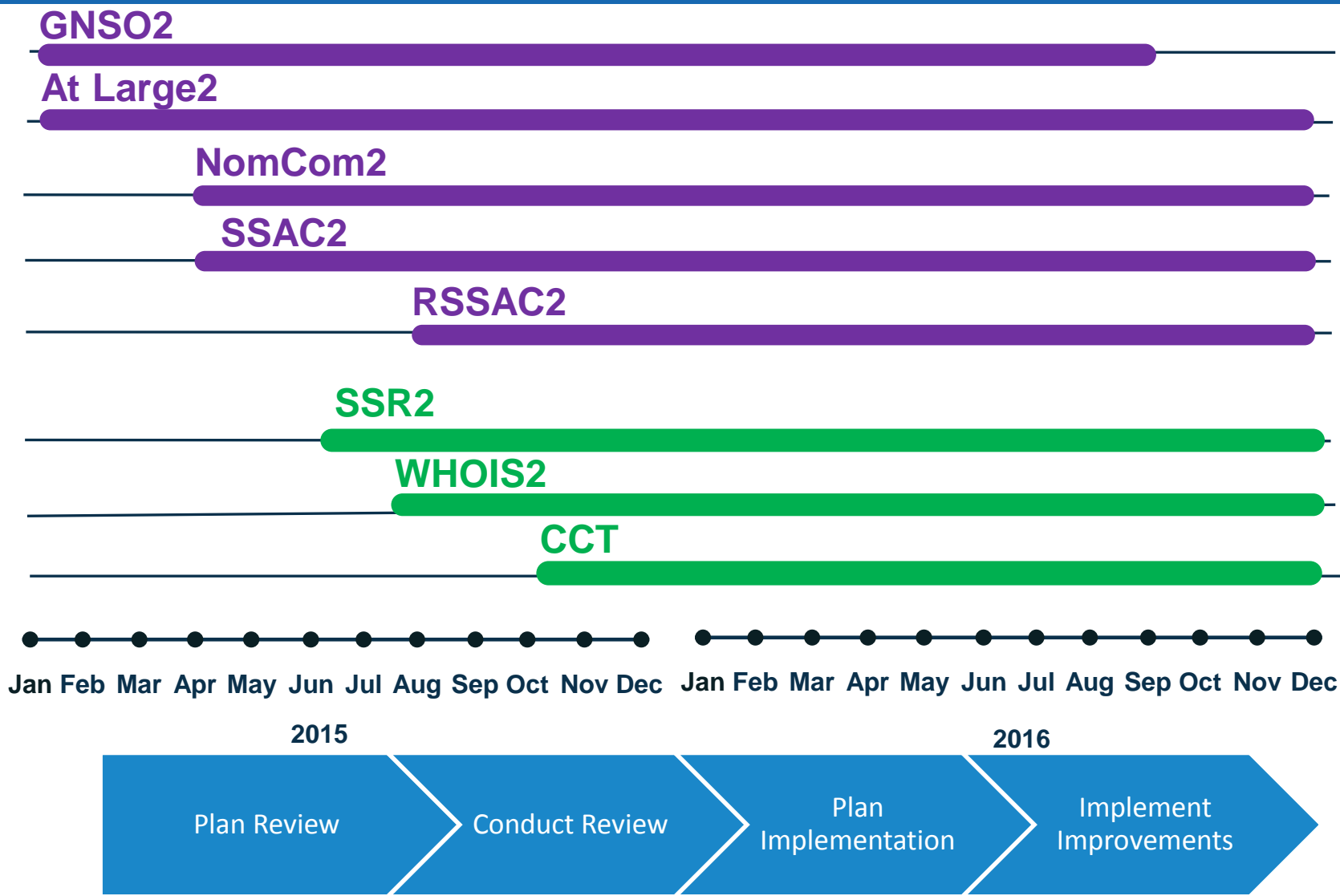
# GNSO Review: Updated Schedule

Activities and Milestones	Dates
Update the Structural Improvements Committee	6 February, 2015
GNSO Review Working Party Meeting at ICANN52: Westlake (independent examiner) briefing and presentation of initial findings, observations and recommendations ( <b>“Working Text”</b> )	11 February 10:30 am – Noon
GNSO Review Working Party working session: discussion, Q&A with Westlake	3 March 20 UTC
Deliver consolidated comments on Working Text to Westlake	20 March
Update the Structural Improvements Committee	21 April
<b>Draft Report</b> from Westlake posted for Public Comment	23 April - 4 June
Community review of Report of Public Comments Received	12 June – 7 July
Provide update to the Structural Improvements Committee – Draft Report and Public Comments	19 June
ICANN53	21 – 26 June
<b>Final Report</b> from Westlake distributed to the GNSO Review Working Party and the Structural Improvements Committee	14 July

# At Large Review: Proposed Timeline

Phase	Date	Activities
Plan Review	JAN – JUN '15	Develop plan Form At Large Review Working Party RFP/competitive bidding; select examiner
Conduct Review	JUL'15 – MAR'16	Conduct Review Report and recommendations
Plan Implementation	APR – SEPT'16	Develop Improvement Plan Allocate resources Integrate into plans and budget
Implement Improvements	OCT'16 – JUN'17	Implement improvements Monitor implementation Integrate into plans and budget Publish Implementation Report
Standard Operating Process	JUL'17 – AUG'19	Gain operational experience Ongoing reporting, tracking and monitoring
Assess	SEP – DEC'19	Conduct effectiveness via self-assessment Prepare report for next review

# Proposed Timeline\* - AoC & Organizational Reviews



\* Pending community discussion and Board agreement

# Organizational Reviews Process Improvements

- Planning phase of 6 months, including clear scope of work and deliverables defined early in the competitive bidding process
- Review Working Party appointed by the structure under review to serve as a liaison between the independent examiner, staff, the SIC and the structure
- Early and continuous engagement of the Working Party with the independent examiner
- Robust outreach to ensure broad and diverse participation in the review

# Discussion Topics

1. Views on proposed AoC schedule
2. Views on the Review Schedule overall – potentially 8 reviews within the next year

# Next Steps

1. Community views
2. Board guidance
3. Publication of Review Schedule
4. Improved web pages

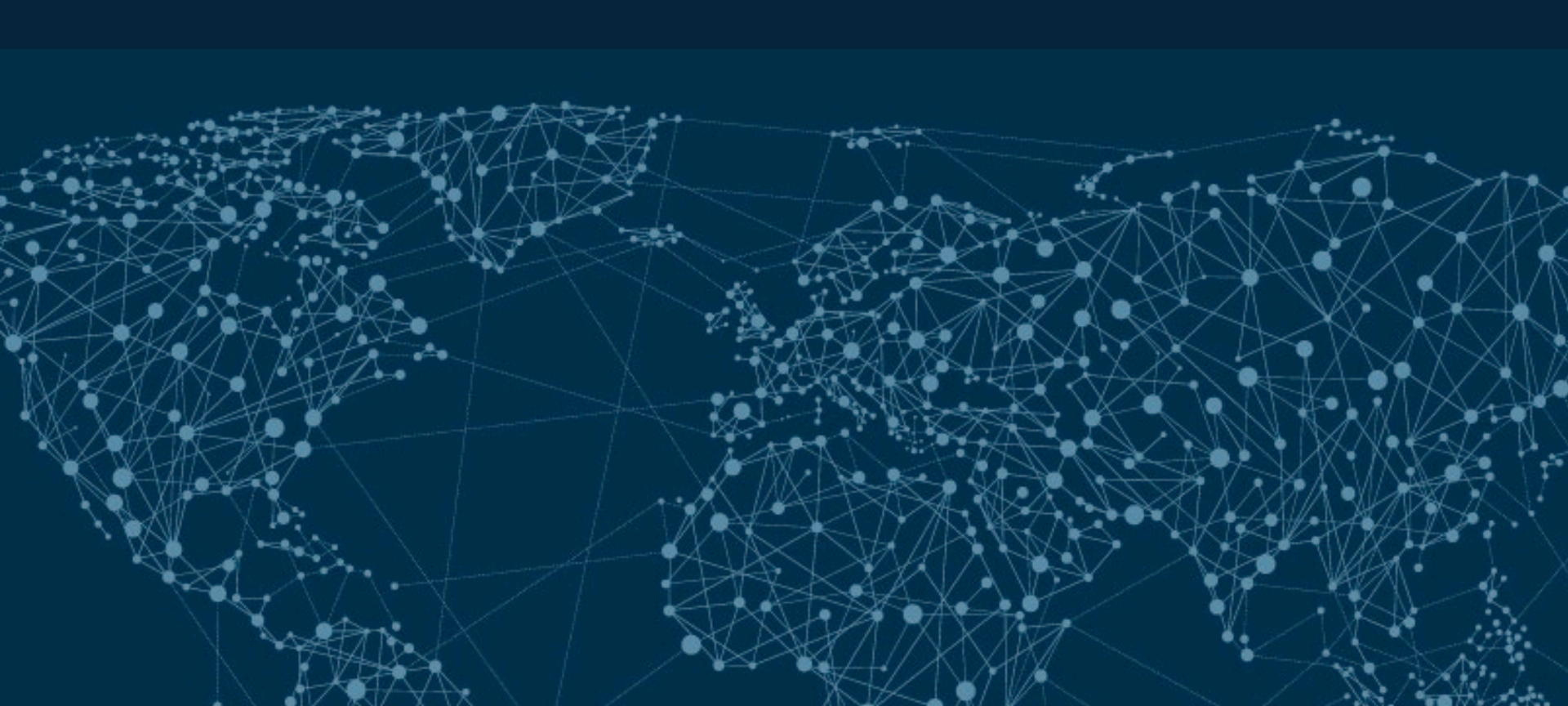


**Please share your views and send your ideas to [Reviews@icann.org](mailto:Reviews@icann.org).**

Visit session details page for links to additional information

(<http://singapore52.icann.org/en/schedule/mon-aoc-org-reviews>)

- SSR Implementation Status
- WHOIS Implementation Status
- ATRT2 Implementation Status
- GNSO Review Community Wiki
- At Large Review Presentation to ALAC



Thank You