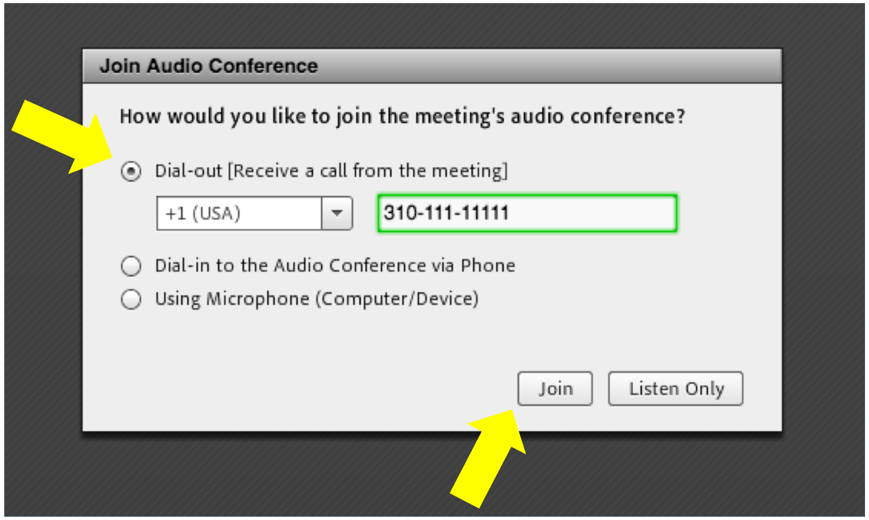
For Best Audio: Join via Telephone Using Dial-Out

Connecting via the audio bridge is always preferable to the AC audio connection.

Upon logging into Adobe Connect, a pop-up window will appear for the AC to call your phone. This preferred method will assure the best audio for the meeting.



Join Audio Conference

How would you like to join the meeting's audio conference?

● Dial-out [Receive a call from the meeting]

+1 (USA) 310-111-11111

○ Dial-in to the Audio Conference via Phone

○ Using Microphone (Computer/Device)

After 2 background noise occurrences, staff will mute the offending line (either Telephone or Adobe Connect).

After two failed attempts to speak over the audio, participants will be invited to type their comments in the chat or take them to the mailing list.

PLEASE ALWAYS MUTE WHEN NOT SPEAKING!

***6 to mute and *6 to unmute**

For any questions, dial out requests, apologies, please email: mssi-secretariat@icann.org

Accountability and Transparency Review (ATRT3) Face-to-Face Meeting #01

Day 1 | 3 April 2019

ICANN

Opening Remarks

Agenda Item #1

Time: 09:00 – 09:05

Presenter: Theresa Swinehart

Welcome

Agenda Item #2

Time: 09:05 – 09:30

Presenters: Co-Chairs and ICANN org

Roll-Call, SoI Updates, Administrative Items

- **Roll-call**

- **Any Statement of Interests Updates?**

- **Housekeeping**
  - Raise your hand if you wish to be added to the queue

  - **Session is recorded**:
    - Always use your microphone
    - State your name before speaking
    - Limit use of your laptop

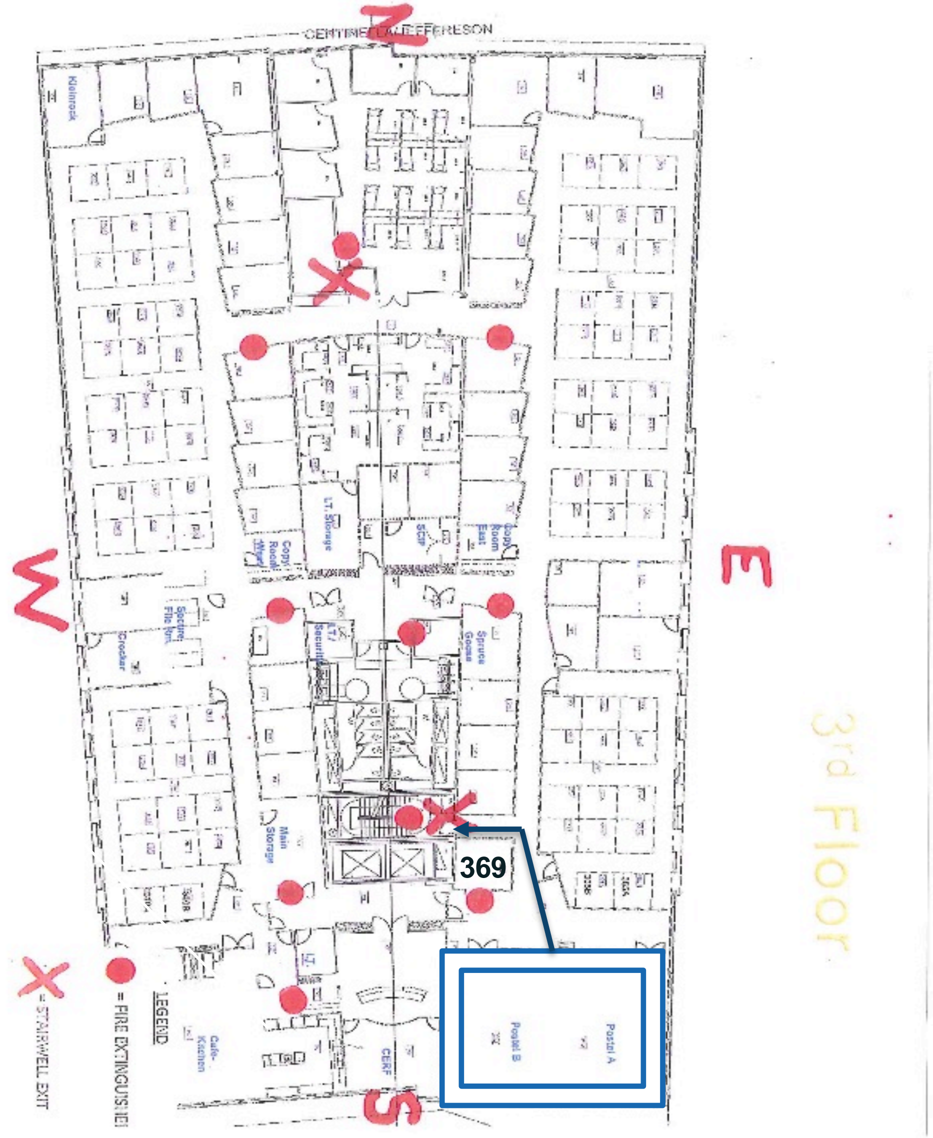
  - **Parking Lot**: use dedicated paper board to suggest an item/idea for discussion

  - **Breaks**:
    - Corridor area for coffee breaks and lunch
    - Badges

  - **Fire Exits in case of emergency** (see next slide)

Roll-Call, SoI Updates, Administrative Items

- Two fire exits located on this floor, and represented on map by a red cross.
- If you are heading north when exiting the meeting room, the closest fire exit will be immediately on the left hand side after you pass office **369.**



CENTINELA / JEFFERSON
N
W
E
S
369
3rd Floor
LEGEND
= FIRE EXTINGUISHER
= STAIRWELL EXIT
Postal A
Postal B
CERF
Cafe-Kitchen
Main Storage
I.T. Storage
Copy Room
Spruce Goose
Kleinrock

Day 1 – Morning Program

09:00 - 09:05 – Opening Remarks
09:05 - 09:30 – Welcome
09:30 - 09:50 – Specific Reviews and Process Flows
09:50 - 10:15 – Review Suggested Work Plan and Timeline
10:15 – 10:30 – Introduce Outreach Plan

10:30-10:45 – Break

10:45 - 12:30 – Working Session Intended To Review/Finalize Objectives in the Terms of Reference and Scope section

12:30-13:30 – Lunch

Day 1 – Afternoon Program

13:30 - 15:30 – Working Session Intended To Review/Finalize Objectives in the Terms of Reference and Scope section

15:30-15:45 – Break

15:45 - 17:15 – Working Session Intended To Review Terms of Reference

17:15 – 17:30 – Review day 2 agenda and provide closing remarks

19:00-21:30 – Dinner (offsite)

Opening Remarks & Day 1 Objectives

- **Meeting Objectives:**
  - Ensure team understanding of the Specific Review processes
  - Agree upon this review's scope, objectives, Work Plan, and Terms of Reference
  - Identify tasks to be performed by review team members and allocate responsibilities
  - Define roadmap to publish draft report for public comment

- **Day 1 Objectives**
  - Understand Specific Review Processes
  - Review Work Plan and upcoming review milestones
  - Reach consensus on review team scope and objectives

Specific Reviews and Process Flows

Agenda Item #3

Time: 09:30 – 09:50

Presenter: ICANN org

Background

Section 4.6

- Accountability and Transparency Review (ATRT)
- Security, Stability, and Resiliency Review (SSR)
- Competition, Consumer Trust and Consumer Choice Review (CCT)
- Registration Directory Service Review (RDS)

ICANN
BYLAWS

7 Phases for Specific Reviews

1 **Pre-Planning,** where the organization prepares to support the Review

2 **Initialization and Selection** of the Review Team

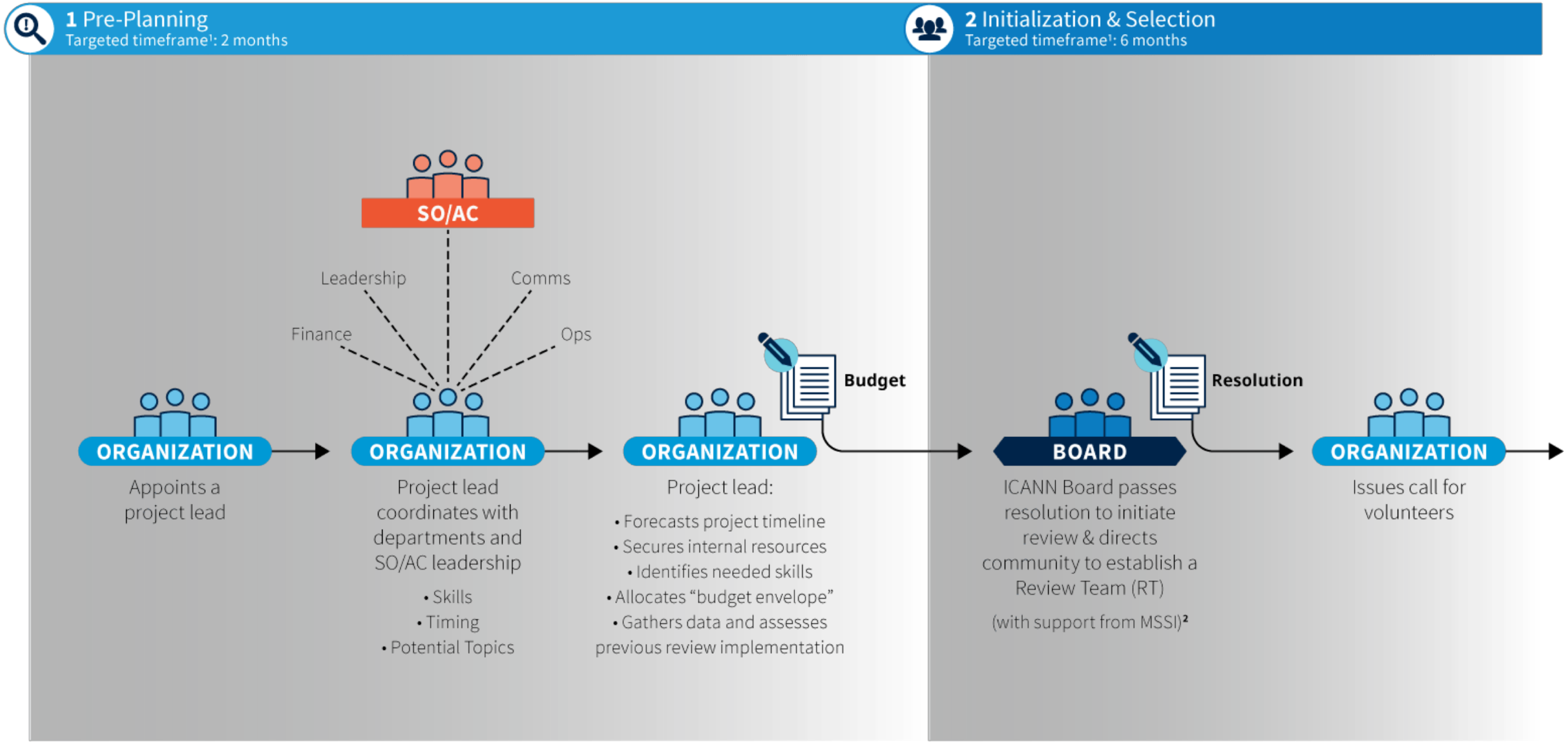
3 **Planning,** where the Review Team develops its approach to the Review

4 **Conducting the Review,** includes analysis, assessment and recommendation development

5 **Board Consideration,** where the Final Report and accompanying action plan is accepted or rejected

6/7 **Implementation and Ongoing Support** of the recommendations

Specific Reviews – Process Flow



1 Pre-Planning
Targeted timeframe[1]: 2 months

2 Initialization & Selection
Targeted timeframe[1]: 6 months

ORGANIZATION
Appoints a project lead

ORGANIZATION
Project lead coordinates with departments and SO/AC leadership
- Skills
- Timing
- Potential Topics

ORGANIZATION
Project lead:
- Forecasts project timeline
- Secures internal resources
- Identifies needed skills
- Allocates "budget envelope"
- Gathers data and assesses previous review implementation

BOARD
ICANN Board passes resolution to initiate review & directs community to establish a Review Team (RT)

(with support from MSSI)[2]

ORGANIZATION
Issues call for volunteers

---

[1] All targeted timeframes based on Bylaw-mandated 5-year cycle

[2] Begins 5-year countdown until next review must begin

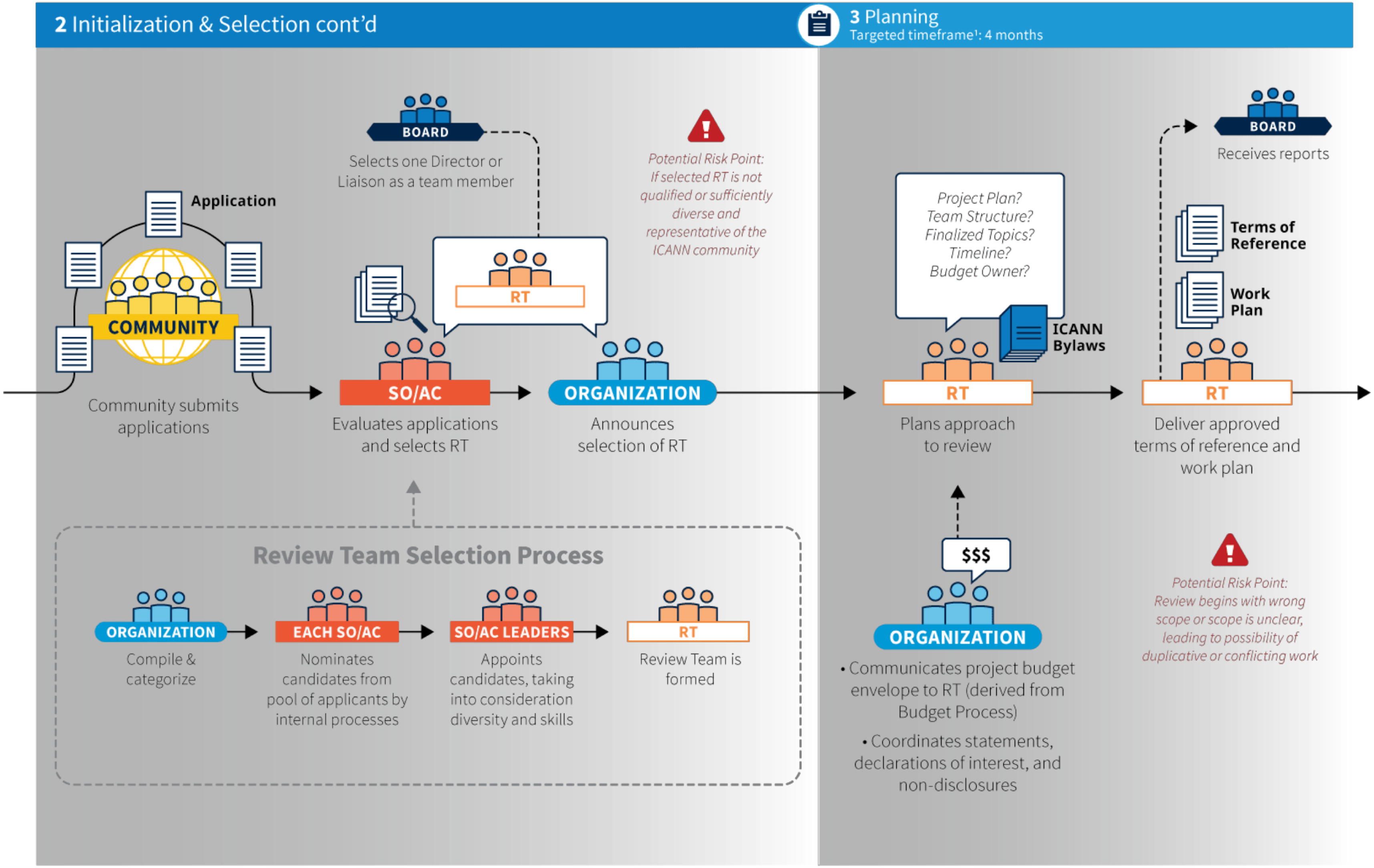
Legend

ORGANIZATION	SO/AC	BOARD	COMMUNITY	RT	OEC
ICANN organization	Supporting Organizations and Advisory Committees	ICANN Board	ICANN community	Review Team	Organizational Effectiveness Committee

Glossary

AC - Advisory Committee
MSSI - Multistakeholder Strategy and Strategic Initiatives
RFP - Request for Proposal
SO - Supporting Organization

Specific Reviews – Process Flow



2 Initialization & Selection cont'd

Application

COMMUNITY

Community submits applications

BOARD

Selects one Director or Liaison as a team member

RT

SO/AC

Evaluates applications and selects RT

ORGANIZATION

Announces selection of RT

Potential Risk Point: If selected RT is not qualified or sufficiently diverse and representative of the ICANN community

Review Team Selection Process

ORGANIZATION

Compile & categorize

EACH SO/AC

Nominates candidates from pool of applicants by internal processes

SO/AC LEADERS

Appoints candidates, taking into consideration diversity and skills

RT

Review Team is formed

3 Planning

Targeted timeframe[1]: 4 months

Project Plan? Team Structure? Finalized Topics? Timeline? Budget Owner?

ICANN Bylaws

RT

Plans approach to review

$$$

ORGANIZATION

- Communicates project budget envelope to RT (derived from Budget Process)
- Coordinates statements, declarations of interest, and non-disclosures

BOARD

Receives reports

Terms of Reference

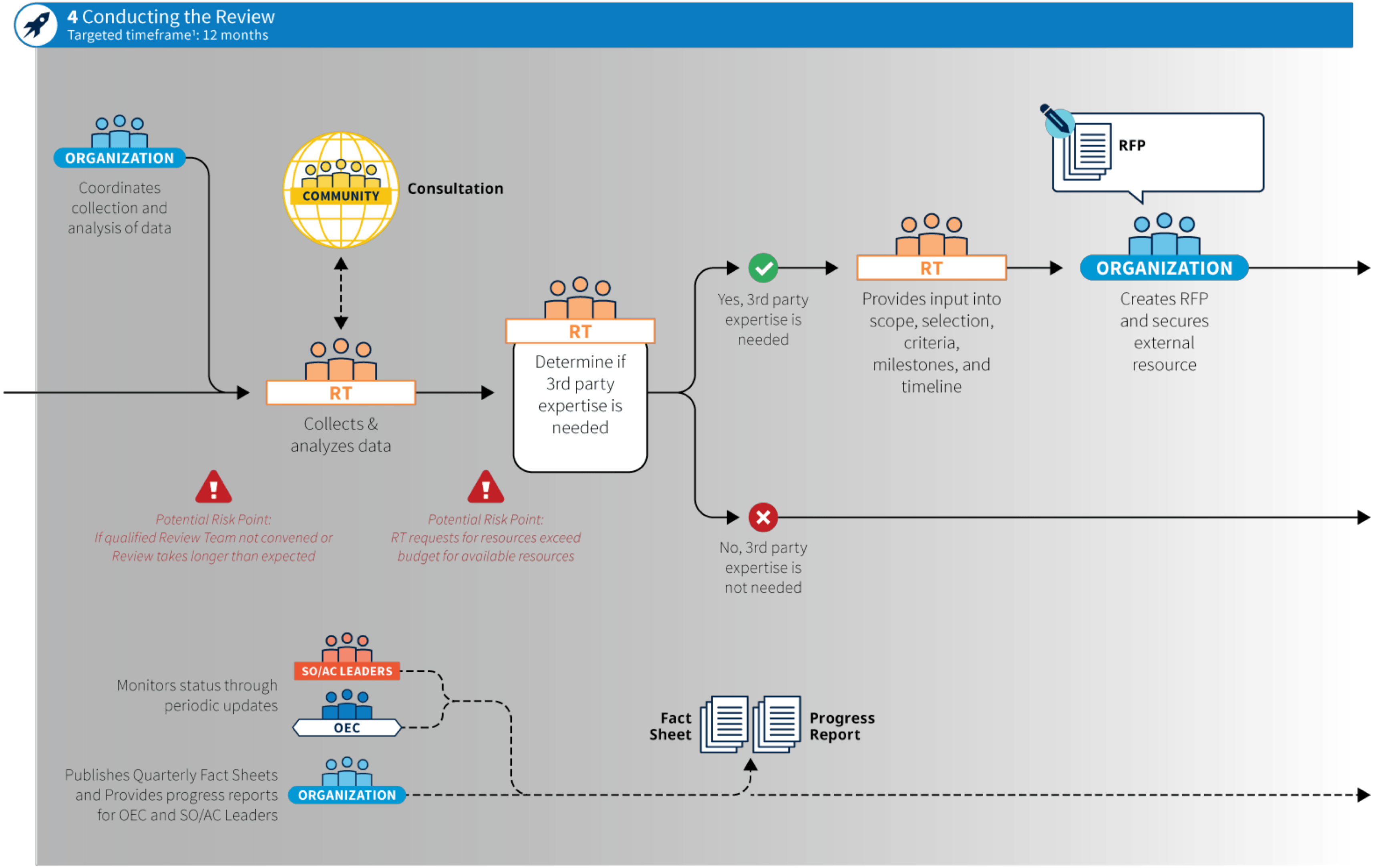
Work Plan

RT

Deliver approved terms of reference and work plan

Potential Risk Point: Review begins with wrong scope or scope is unclear, leading to possibility of duplicative or conflicting work

Specific Reviews – Process Flow



4 Conducting the Review
Targeted timeframe¹: 12 months

ORGANIZATION
Coordinates collection and analysis of data

COMMUNITY
Consultation

RT
Collects & analyzes data

RT
Determine if 3rd party expertise is needed

✓ Yes, 3rd party expertise is needed

RT
Provides input into scope, selection, criteria, milestones, and timeline

RFP

ORGANIZATION
Creates RFP and secures external resource

✗ No, 3rd party expertise is not needed

Potential Risk Point: If qualified Review Team not convened or Review takes longer than expected

Potential Risk Point: RT requests for resources exceed budget for available resources

Monitors status through periodic updates

SO/AC LEADERS

OEC

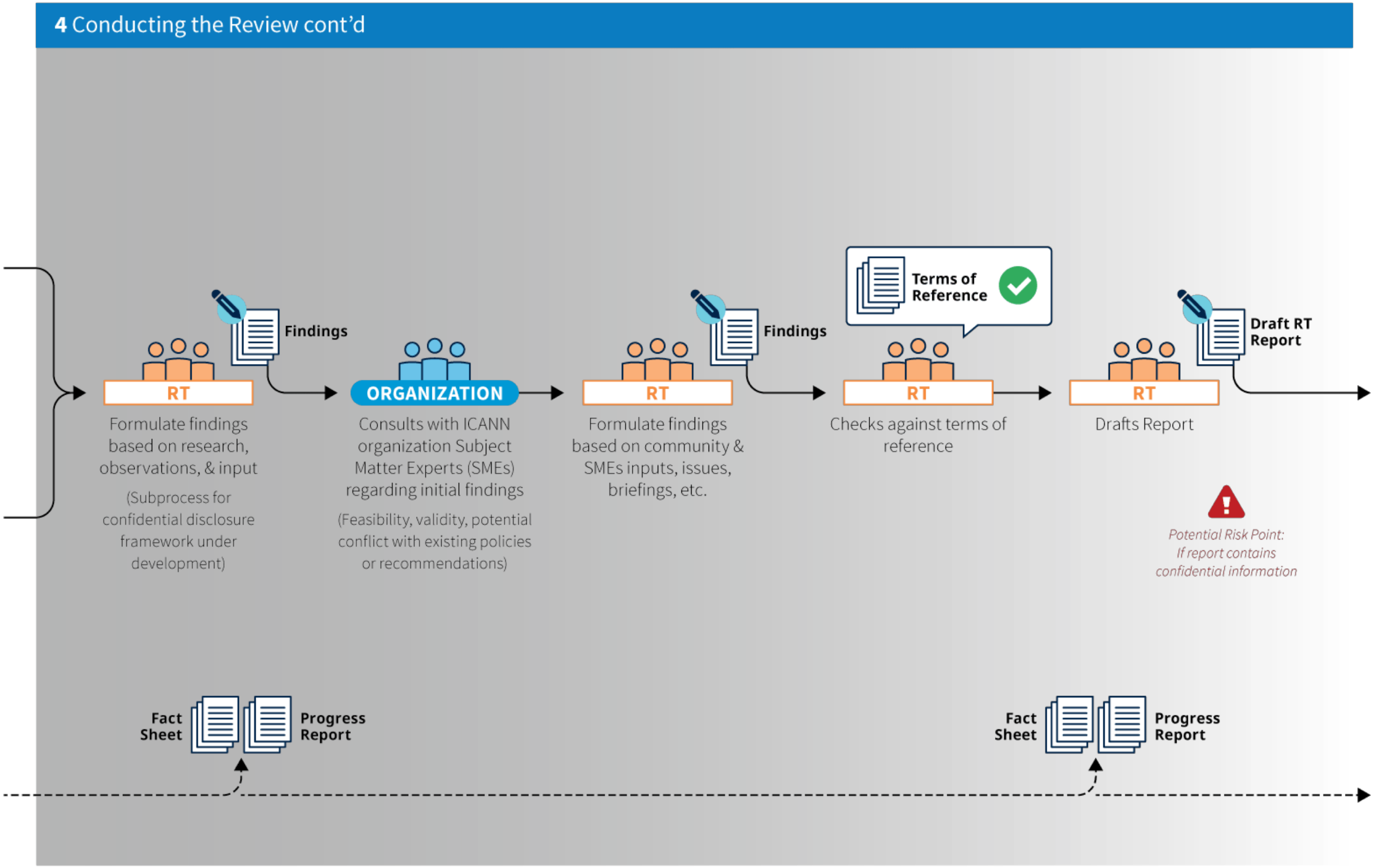
Publishes Quarterly Fact Sheets and Provides progress reports for OEC and SO/AC Leaders

ORGANIZATION

Fact Sheet

Progress Report

Specific Reviews – Process Flow



4 Conducting the Review cont'd

Findings
RT

Formulate findings based on research, observations, & input

(Subprocess for confidential disclosure framework under development)

ORGANIZATION

Consults with ICANN organization Subject Matter Experts (SMEs) regarding initial findings

(Feasibility, validity, potential conflict with existing policies or recommendations)

Findings
RT

Formulate findings based on community & SMEs inputs, issues, briefings, etc.

Terms of Reference
RT

Checks against terms of reference

Draft RT Report
RT

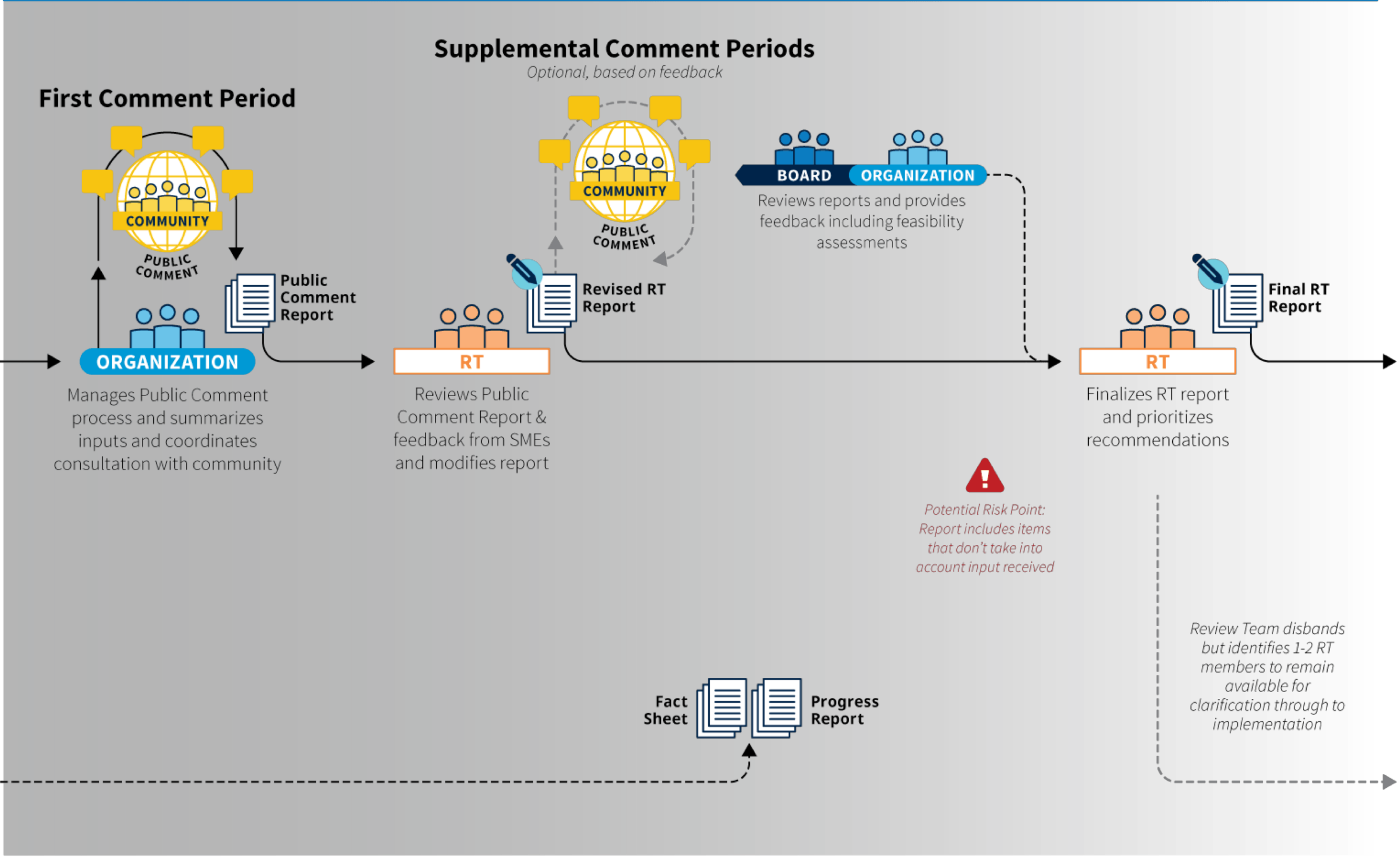
Drafts Report

Potential Risk Point: If report contains confidential information

Fact Sheet
Progress Report
Fact Sheet
Progress Report

Specific Reviews – Process Flow

4 Conducting the Review cont'd



First Comment Period

Supplemental Comment Periods

Optional, based on feedback

COMMUNITY
PUBLIC COMMENT
ORGANIZATION
Public Comment Report
RT
Revised RT Report
COMMUNITY
PUBLIC COMMENT
BOARD
ORGANIZATION
RT
Final RT Report
Fact Sheet
Progress Report

ORGANIZATION: Manages Public Comment process and summarizes inputs and coordinates consultation with community

RT: Reviews Public Comment Report & feedback from SMEs and modifies report

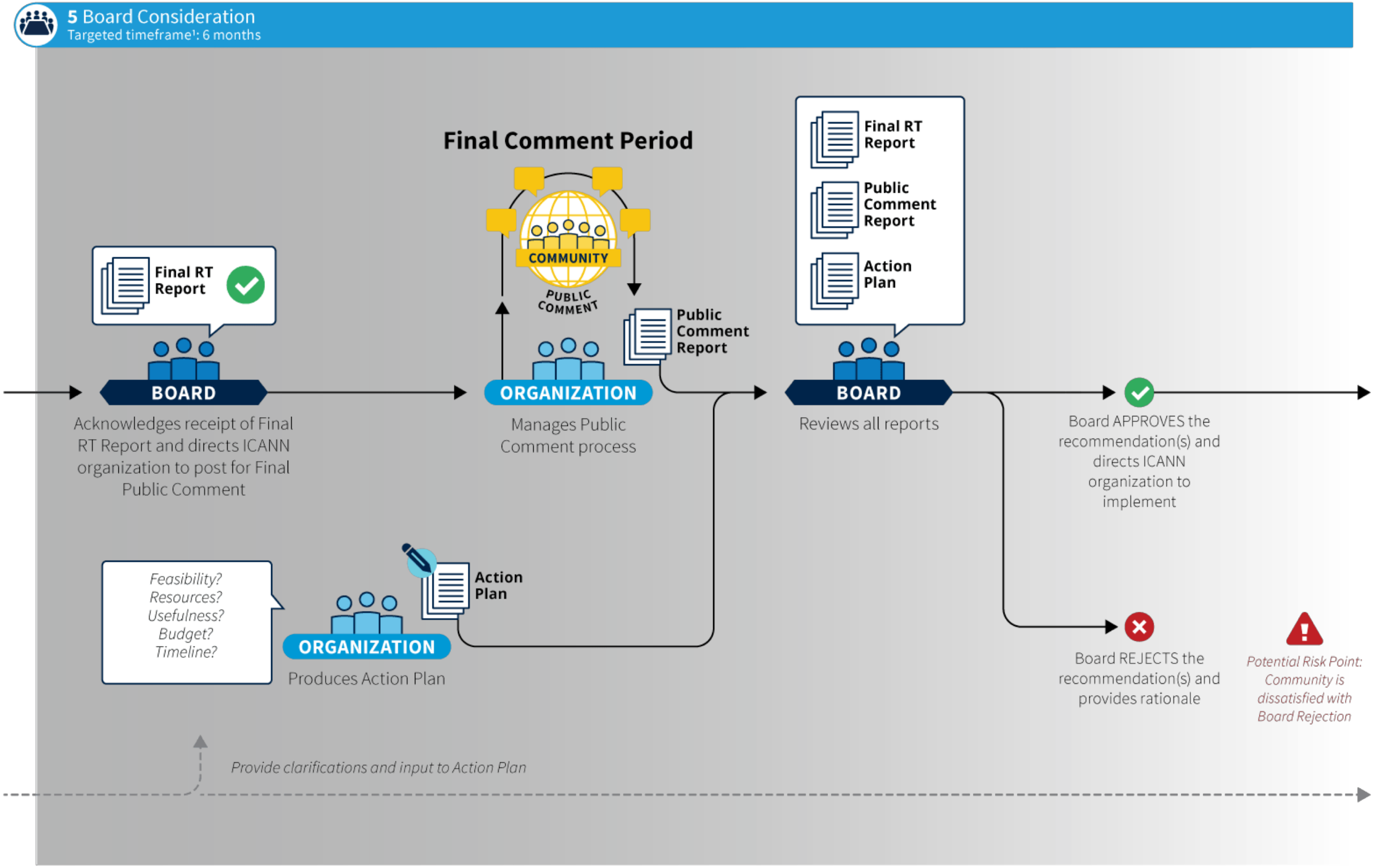
BOARD / ORGANIZATION: Reviews reports and provides feedback including feasibility assessments

RT: Finalizes RT report and prioritizes recommendations

Potential Risk Point: Report includes items that don't take into account input received

Review Team disbands but identifies 1-2 RT members to remain available for clarification through to implementation

Specific Reviews – Process Flow



5 Board Consideration
Targeted timeframe¹: 6 months

Final Comment Period

Final RT Report
BOARD
COMMUNITY
PUBLIC COMMENT
ORGANIZATION
Public Comment Report
Final RT Report
Public Comment Report
Action Plan
BOARD
Action Plan
ORGANIZATION

Acknowledges receipt of Final RT Report and directs ICANN organization to post for Final Public Comment

Manages Public Comment process

Reviews all reports

Board APPROVES the recommendation(s) and directs ICANN organization to implement

Board REJECTS the recommendation(s) and provides rationale

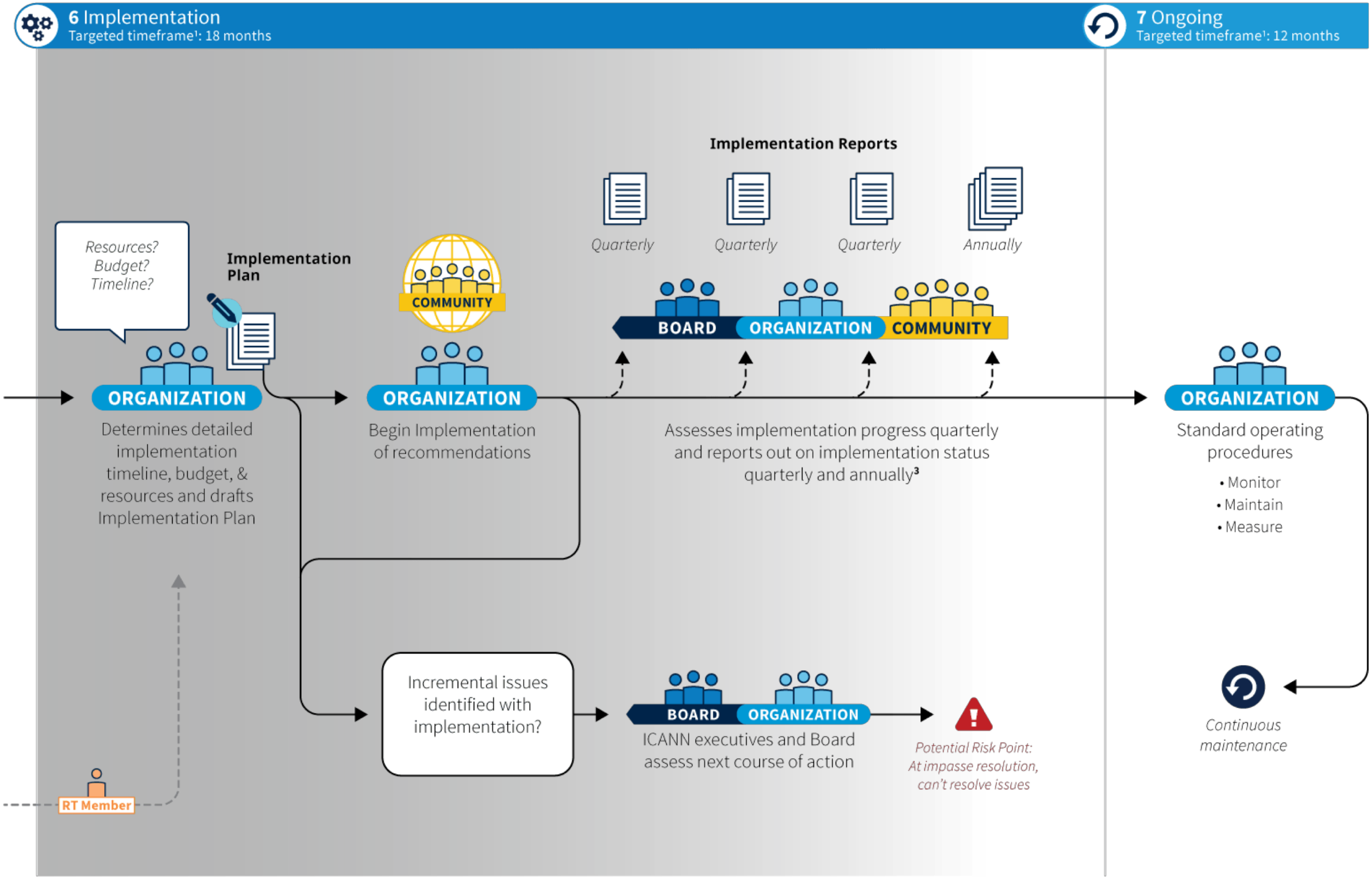
Potential Risk Point: Community is dissatisfied with Board Rejection

Feasibility?
Resources?
Usefulness?
Budget?
Timeline?

Produces Action Plan

Provide clarifications and input to Action Plan

Specific Reviews – Process Flow



6 Implementation
Targeted timeframe[1]: 18 months

7 Ongoing
Targeted timeframe[1]: 12 months

Resources? Budget? Timeline?

Implementation Plan

ORGANIZATION
Determines detailed implementation timeline, budget, & resources and drafts Implementation Plan

RT Member

COMMUNITY

ORGANIZATION
Begin Implementation of recommendations

Implementation Reports

Quarterly
Quarterly
Quarterly
Annually

BOARD **ORGANIZATION** **COMMUNITY**

Assesses implementation progress quarterly and reports out on implementation status quarterly and annually[3]

Incremental issues identified with implementation?

BOARD **ORGANIZATION**
ICANN executives and Board assess next course of action

Potential Risk Point: At impasse resolution, can't resolve issues

ORGANIZATION
Standard operating procedures

- Monitor
- Maintain
- Measure

Continuous maintenance

---

3 Pursuant to Section 4.5 of Bylaws.

Review suggested Work Plan and timeline

Agenda Item #4

Time: 09:50 – 10:15

Presenter: Co-Chairs

Current Work Plan & Deliverables

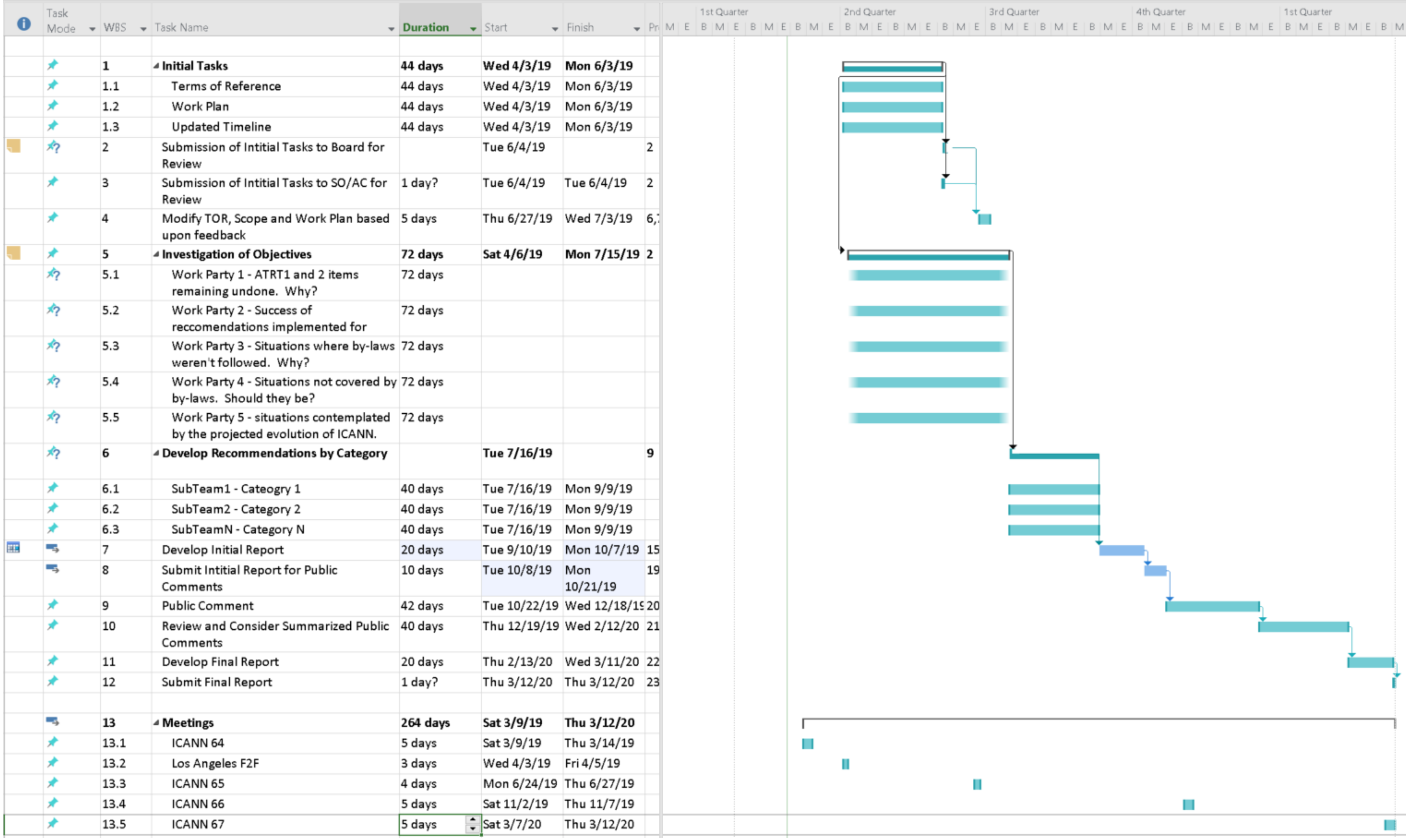
DATE *	DELIVERABLE*
3-4-5 April 2019	First Substantive Meeting
By 3 June 2019	Adopt its Terms of Reference and Work Plan
By 15 July 2019	Investigation of Objectives
By 9 September 2019	Submit subgroup reports
By 21 October 2019	Submit Initial Report for Public Comment
By 12 March 2020	Approve final findings and recommendations for submission to ICANN Board

Per timeline discussed on plenary call #4

Any adjustments needed?

Draft Work Plan including all deliverables added to reading list, and dedicated session on Day 2 at 13:30.

Timeline (as per Plenary Call #04)


1st Quarter
2nd Quarter
3rd Quarter
4th Quarter
1st Quarter
M E B M E B M E B M E B M E B M E B M E B M E B M E B M E B M E B M E B M E B M E B M E B M E B M E B M

ℹ	Task Mode	WBS	Task Name	Duration	Start	Finish	Pr
		1	**Initial Tasks**	**44 days**	**Wed 4/3/19**	**Mon 6/3/19**	
		1.1	Terms of Reference	44 days	Wed 4/3/19	Mon 6/3/19	
		1.2	Work Plan	44 days	Wed 4/3/19	Mon 6/3/19	
		1.3	Updated Timeline	44 days	Wed 4/3/19	Mon 6/3/19	
		2	Submission of Intitial Tasks to Board for Review		Tue 6/4/19		2
		3	Submission of Intitial Tasks to SO/AC for Review	1 day?	Tue 6/4/19	Tue 6/4/19	2
		4	Modify TOR, Scope and Work Plan based upon feedback	5 days	Thu 6/27/19	Wed 7/3/19	6,
		5	**Investigation of Objectives**	**72 days**	**Sat 4/6/19**	**Mon 7/15/19**	**2**
		5.1	Work Party 1 - ATRT1 and 2 items remaining undone. Why?	72 days			
		5.2	Work Party 2 - Success of reccomendations implemented for	72 days			
		5.3	Work Party 3 - Situations where by-laws weren't followed. Why?	72 days			
		5.4	Work Party 4 - Situations not covered by by-laws. Should they be?	72 days			
		5.5	Work Party 5 - situations contemplated by the projected evolution of ICANN.	72 days			
		6	**Develop Recommendations by Category**		**Tue 7/16/19**		**9**
		6.1	SubTeam1 - Category 1	40 days	Tue 7/16/19	Mon 9/9/19	
		6.2	SubTeam2 - Category 2	40 days	Tue 7/16/19	Mon 9/9/19	
		6.3	SubTeamN - Category N	40 days	Tue 7/16/19	Mon 9/9/19	
		7	Develop Initial Report	20 days	Tue 9/10/19	Mon 10/7/19	15
		8	Submit Intitial Report for Public Comments	10 days	Tue 10/8/19	Mon 10/21/19	19
		9	Public Comment	42 days	Tue 10/22/19	Wed 12/18/19	20
		10	Review and Consider Summarized Public Comments	40 days	Thu 12/19/19	Wed 2/12/20	21
		11	Develop Final Report	20 days	Thu 2/13/20	Wed 3/11/20	22
		12	Submit Final Report	1 day?	Thu 3/12/20	Thu 3/12/20	23
		13	**Meetings**	**264 days**	**Sat 3/9/19**	**Thu 3/12/20**	
		13.1	ICANN 64	5 days	Sat 3/9/19	Thu 3/14/19	
		13.2	Los Angeles F2F	3 days	Wed 4/3/19	Fri 4/5/19	
		13.3	ICANN 65	4 days	Mon 6/24/19	Thu 6/27/19	
		13.4	ICANN 66	5 days	Sat 11/2/19	Thu 11/7/19	
		13.5	ICANN 67	5 days	Sat 3/7/20	Thu 3/12/20	

Introduce Outreach Plan

Agenda Item #5

Time: 10:15 – 10:30

Presenter: ICANN org

Outreach Plan

Outreach plan will help the review team identify when should the review team reach out to the community to request input and/or share an update on completion of its milestones.

Review Team will:

- Conduct outreach to the ICANN community and beyond to support its mandate and in keeping with the global reach of ICANN’s mission.

- Ensure the public has access to, and can provide input on, the Team’s work. Set opportunities for interested community members to interact with the review team.

Outreach Plan

1. Adopted terms of reference & work plan	
Objective(s):	Provide community with details on adopted terms of reference and work plan.
Actions needed:	• Draft communication to be reviewed and approved by review team leadership
Communication tools:	• Blog post on ICANN.org • Wiki posts • Update to Review Status Update Page • Review team members' update to their constituency • Notification to SO/ACs through email channel • Social media • ICANN65 ○ Organize engagement session ○ Send a note to SO/ACs, Board Caucus Group, constituency and stakeholder groups to suggest face-to-face update ○ ICANN org to prepare slides for leadership to approve and populate, as needed. ○ Video Update

Outreach Plan

2. Initial Findings	
Objective(s):	- Present results of analysis and set of initial findings
Actions needed:	- Organize remote engagement sessions with ICANN SO/ACs, constituency and stakeholder groups - Send a note to SO/ACs, Board Caucus Group, constituency and stakeholder groups to suggest face-to-face update - Rapporteurs to deliver overview of findings to ICANN org for slides - Leadership to approve slides ICANN org prepared
Communication tools:	- Engagement session with ICANN community - Engagement sessions with SO/ACs, constituency and stakeholder groups - Engagement session with Board Caucus Group - Wiki posts - Review Status Update Page - RT members' update to their constituency - Notification to SO/ACs through email channel - Social media

Outreach Plan

3. Draft Recommendations

Objective(s):	• Seek community input on draft recommendations • Seek input and guidance from the Board Caucus Group and ICANN Subject Matter Experts (SMEs) on implementability of draft recommendations
Actions needed:	• ICANN66 ○ Organize engagement session ○ Send a note to SO/ACs, Board Caucus Group, constituency and stakeholder groups to suggest face-to-face update, ○ ICANN org to prepare slides for leadership to approve and populate, as needed. • Issue draft report for public comment • Organize two webinars, to accommodate all time zones.
Communication tools:	• ICANN66 ○ Engagement session with ICANN community ○ Engagement sessions with SO/ACs, constituency and stakeholder groups ○ Engagement session with Board Caucus Group ○ Discussion with ICANN SMEs • Public Comment Proceeding ○ ICANN announcement ○ Wiki post ○ Update to Review Status Update Page • Video update • RT members' update to their membership • Notification to SO/ACs through email channel • Social media

Outreach Plan

4. Draft final recommendations	
Objective(s):	Request input and guidance from the community on implementability of draft final recommendations, prior to submission to the ICANN Board
Actions needed:	• ICANN67 ○ Organize engagement session ○ Send a note to SO/ACs, Board Caucus Group, constituency and stakeholder groups to suggest face-to-face update ○ ICANN org to prepare slides for leadership to approve/populate, as needed
Communication tools:	• ICANN67 ○ Engagement session with ICANN community ○ Engagement sessions with SO/ACs, constituency and stakeholder groups ○ Engagement session with Board Caucus Group ○ Discussion with ICANN SMEs • Wiki post • Update to Review Status Update Page • RT members' update to their membership • Notification to SO/ACs through email channel

Break

Time: 10:30-10:45

What's Next?

10:45-12:30 – Working session intended to review/finalize objectives in the Terms of Reference and Scope section

Working session intended to review/finalize Objectives in the Terms of Reference and Scope section

Agenda Item #6

Time: 10:45 – 12:30

Presenters: Review Team

Workshop Exercises

5 Track progress on completing the ToR

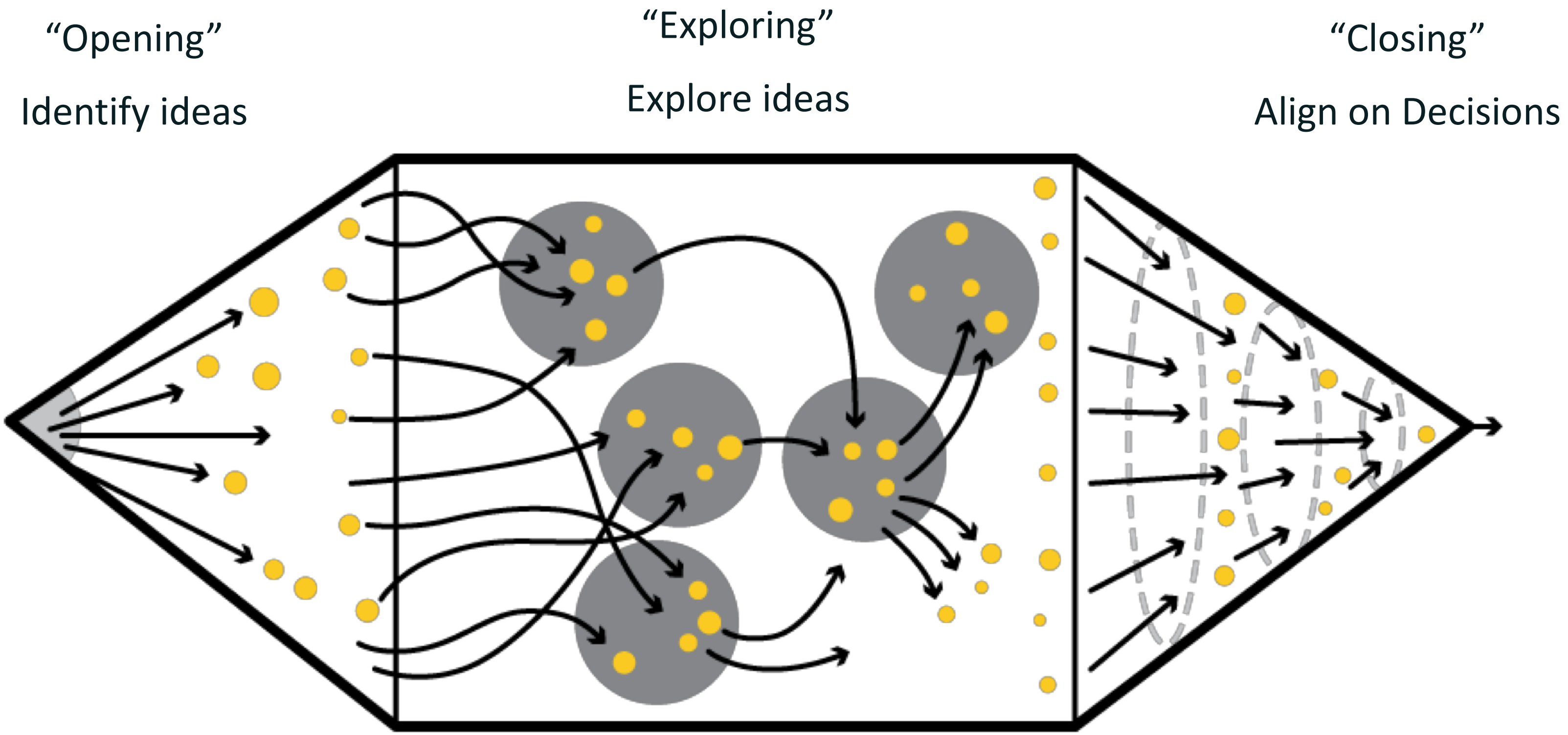
4 Begin mapping out work plan elements

3 Prioritization of Scope Elements

2 Alignment Check on Scope

1 Identify any remaining elements or gaps in the details of scope

The process of group decision-making



“Opening”

Identify ideas

“Exploring”

Explore ideas

“Closing”

Align on Decisions

● **Ideas, thoughts, comments, questions**

Tips for Success

ONE IDEA
PER
POST-IT
NOTE

PLEASE PRINT
CLEARLY

USE A SHARPIE
PEN

KEEP
GROUPS TO
3-4 PEOPLE
PER STATION

TRUST
THE PROCESS

Exercise #1

Identify any remaining elements or gaps in the details of scope

- Step 1. Individually explore the stations around the room, and using post-it notes add any element you think might be missing from the scope.
- Step 2. We will then go around the different stations, and volunteers will read out any new information and discuss as a group

- *For remote participants, exercises are available here: https://docs.google.com/document/d/1HAUweyRZ7Gy4GBOaoWLlAJulNBq58ycl1sD93zCk35c/edit?usp=sharing*

Exercise #2

Alignment Check on Scope

- Step 1. Individually go to each station and make a check mark where you feel you are on the alignment spectrum for the objective and also for the details on the scope captured in the framework.
- Step 2. We will then go through each station and discuss the results and hone in on where gaps are the group will need to close on
- *For remote participants, exercises are available here:* *https://docs.google.com/document/d/1HAUweyRZ7Gy4GBOaoWLlAJulNBq58ycl1sD93zCk35c/edit?usp=sharing*

Lunch

Time: 12:30-13:30

What's Next?

13:30 - 15:30 – Working session intended to review/finalize Objectives in the Terms of Reference and Scope section

Exercise #3

Prioritization of Scope Elements

- Step 1. RT members will rank individually each scope element by adding a check mark under the estimated priority.
- Step 2. The RT will then as a group discuss the results of the rankings, and explore where lack of agreement occurs.
- Step 3. If needed, the RT will run the individual ranking exercise again to see if the results change based on the discussion

- *For remote participants, exercises are available here:* *https://docs.google.com/document/d/1HAUweyRZ7Gy4GBOaoWLIAJuINBq58ycI1sD93zCk35c/edit?usp=sharing*

Working session intended to review/finalize Objectives in the Terms of Reference and Scope section

Agenda Item #7

Time: 13:30 – 15:30

Presenters: Review Team

Exercise #4

Begin mapping out work plan elements

- Step 1. RT members to form temporary subgroups of 3-4 people. Focusing on the top 4 or 5 objectives based on the results of exercise 3, RT members will select a station to focus on and fill in the framework of work plan elements, based on the scope aligned on in exercises 1 and 2

- Step 2. The RT will then as a full group review each station, with a volunteer sharing the findings of their group, and all will have an opportunity to provide input and see if there are any gaps, or questions, or experience, or other ideas that would be brought forth.

- Time permitting we will repeat this exercise for the remaining scope elements

- *For remote participants, exercises are available here:* *https://docs.google.com/document/d/1HAUweyRZ7Gy4GBOaoWLlAJulNBq58ycl1sD93zCk35c/edit?usp=sharing*

Break

Time: 15:30-15:45

What’s Next?

15:45-17:15 – Working session intended to review/finalize objectives in the Terms of Reference
17:15-17:30 – Review day 2 agenda and provide closing remarks

Working session intended to review/finalize Objectives in the Terms of Reference and Scope section

Agenda Item #8

Time: 15:45 – 17:15

Presenters: Review Team

Exercise #5

Progress check on completing the ToR

- Step 1. Project ToR document
- Step 2. RT will review the status of ToR elements and through a group discussion determine where the RT is on alignment and consensus of the elements of the ToR
- This exercise can be repeated at the end of Day 2

Exercise #5

Section II: Mission, Purpose, and Deliverables	**Consensus Reached (Y/N)?**
Mission & Scope (incl. Scope, Objectives, Definitions)	
Deliverables and Timeframes	
Considerations with Regard to Review Team Recommendations	

Section III: Formation, Leadership, Other Organizations	**Consensus Reached (Y/N)?**
Roles and Responsibility of Review Team Members	
Roles and Responsibilities of Review Team Leadership	
Changes to Review Team Membership, Dissolution of Review Team	
Dependencies on Other Organizations	

Exercise #5

Section IV: Decision-Making and Methodologies	Consensus Reached (Y/N)?
Decision-Making Methodologies*	
Accountability and Transparency	
Reporting	
Subgroups	
Outreach	
Observers	
Independent Experts	

Action Item RT#04: *Review team to identify whether there is a numerical number that we believe that each number should be defined by. What the review team believe consensus should be from a numerical standpoint.*

Review day 2 agenda and provide closing remarks

Agenda Item #9

Time: 17:15 – 17:30

Presenters: Co-Chairs

Day 1 Wrap-Up

- **Confirm Action Items and Decisions Reached**
- **Confirm consensus reached on scope items (if any)**
- **Confirm approved ToR updates (if any)**

Day 2 Agenda

09:00 - 09:10 – Welcome
09:10 - 10:30 – Working session intended to review Terms of Reference and Scope

10:30 - 10:45 – Break

10:45 - 12:30 – Working session intended to review Terms of Reference and Scope

12:30 - 13:30 – Lunch Break

13:30 - 15:30 – Work plan and timeline working session

15:30 - 15:45 – Break

15:45 - 17:15 – Working session intended to finalize Terms of Reference and Scope
17:15 – 17:30 – Day 2 wrap-up

Review Team Dinner

SOL Cocina
12775 Millennium Dr #160
Playa Vista, CA 90094

Time: 19:00 – 21:00