Objectives – Deliverables Holistic Review Pilot ToR meeting

ICANN

19 May 2022

Holistic Review Pilot ToR

Objective	Deliverables
Running Holistic Review Pilot	• *Draft and Final Report* • *Assessment of how the pilot went and ways that the Holistic Review design/scope/guidance should be improved based upon the pilot*
Addressing information gaps (from ATRT3 Scorecard)	• *Guidelines about how Holistic Review teams should determine and prioritize work areas.* • *Methodology for gathering and analyzing data to inform fact-based findings and recommendations.* • *Skill sets for Holistic Review team members.* • *Suggestions as to how various ICANN structures would be held accountable for implementing the recommendations coming from the Holistic Review, if directed to entities other than the ICANN Board or org.* • *Guidelines about how future Holistic Review teams would measure the success of implementation and the success of a future Continuous Improvement Program.*

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Objective A	Deliverables
Review the effectiveness of the various inter-SO/AC/NC collaboration mechanisms." This will be addressed within the Holistic Review Program by the following proposed Holistic Review Pilot steps: a. Identify, aggregate and analyze existing inter-SO/AC/NC collaboration mechanisms (see Definitions section). b. Develop a set of principles, parameters and criteria for a self-assessment to be conducted by SO/AC/NomCom and their relevant component parts to evaluate the effectiveness of inter-SO/AC/NC collaboration mechanisms. c. Develop guidelines for how the self-assessment that could be carried out by each SO/AC/NomCom and their relevant component parts, as applicable. d. Develop guidelines for the evaluation by a post-Pilot Holistic Review Team. i. Consider how the input from self-assessments conducted by the various SO/AC/NomCom and their component parts should be aggregated and analyzed. i. Consider what additional fact finding is needed to inform the evaluation by a post-Pilot Holistic Review Team.	• *Assessment report of existing inter-SO/AC/NC collaboration mechanisms.* • *Set of principles/parameters/criteria for a self-assessment to be conducted by SO/AC/NomCom and their relevant component parts.* • *Guidelines for the self-assessment.* • *Guidelines for the evaluation by a post-Pilot Holistic Review Team.*

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Objective B	Deliverables
ATRT3 stated objective: "Review the accountability of SO/ACs or constituent parts to their members and constituencies (this will include an in-depth analysis of the survey results)." This will be addressed within the Holistic Review Program by the following proposed Holistic Review Pilot steps: a. Identify, aggregate and analyze the accountability of SO/ACs or constituent parts to their members and constituencies based on the results of the latest Organizational Reviews and resulting implementations and available surveys, if any. b. Develop a set of principles, parameters and criteria for a self-assessment to be conducted by SO/AC/NomCom and their relevant component parts to evaluate the accountability of SO/ACs or constituent parts to their members and constituencies. c. Develop guidelines for how the Self-Assessment that could be carried out by each SO/AC/NomCom and their relevant component parts, as applicable. d. Develop guidelines for the evaluation by a post-Pilot Holistic Review Team. i. Consider how the input from self-assessments conducted by the various SO/AC/NomCom and their component parts should be aggregated and analyzed. ii. Consider what additional fact finding is needed to inform the evaluation by a post-Pilot Holistic Review Team. Note: ATRT3 recommended that each structure adopt an annual survey as part of their Continuous Improvement program, with the results of these surveys serving as an input to the Holistic Review.	• *Assessment report about SO/ACs or constituent parts accountability to their members and constituencies.* • *Set of principles/parameters/criteria for a self-assessment to be conducted by SO/AC/NomCom and their relevant component parts.* • *Guidelines for the self-assessment.* • *Guidelines for the evaluation by a post-Pilot Holistic Review Team.*

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Objective C	Deliverables
ATRT3 stated objective: "Review SO/AC/NC as a whole to determine if they continue to have a purpose in the ICANN structure as they are currently constituted or if any changes in structures and operations are desirable to improve the overall effectiveness of ICANN as well as ensure optimal representation of community views (but taking into consideration any impacts on the Board or the Empowered Community)." This will be addressed within the Holistic Review Program by the following proposed Holistic Review Pilot steps: a. Develop guiding principles, parameters and criteria for a self-assessment to be conducted by SO/AC/NomCom and their relevant component parts to evaluate: i. If the SO/AC/NomCom have a continuous purpose in the ICANN structure. ii. Whether changes to the structures and operations are desirable to improve the overall effectiveness of ICANN. iii. Whether changes to the structures and operations are desirable to ensure optimal representation of community views. b. Develop guidelines for the Self-Assessment that could be carried out by each SO/AC/NomCom and their relevant component parts, as applicable. i. Self-assessment should incorporate relevant outputs from previous Organizational Reviews. ii. Develop a framework for addressing the possibility that a given structure or its component parts do not appear to have a continuing purpose. This framework would serve as a guide to inform whether to restructure or remove the no longer relevant component. c. Develop guidelines for the evaluation by a post-Pilot Holistic Review Team. i. Consider how the input from self-assessments conducted by the various SO/AC/NomCom and their component parts should be aggregated and analyzed. ii. Consider what additional fact finding is needed to inform the evaluation by a post-Pilot Holistic Review Team. d. Consider what impact, if any, the ongoing work on enhancing the effectiveness of the Multistakeholder model has on this work area.	• *Set of principles/parameters/criteria for a self-assessment to be conducted by SO/AC/NomCom and their relevant component parts for evaluating what stated in the objective.* • *Guidelines for the self-assessment produced according to what stated in the objective.* • *A framework for addressing the possibility that a given structure or its component parts do not appear to have a continuing purpose.* • *Guidelines for the evaluation by a post-Pilot Holistic Review Team.*

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Objective D	Deliverables
ATRT3 stated objective: "Review continuous improvement efforts of SO/AC/NC based on good practices." This will be addressed within the Holistic Review Program by the following proposed Holistic Review Pilot steps: Note that this objective directly relates to and is impacted by the ATRT3 recommendation to evolve Organizational Reviews into a Continuous Improvement Program. a. Identify, aggregate and analyze existing continuous improvement efforts. b. Develop a set of guiding principles to define "good practices". c. Develop guiding principles, parameters and criteria for a self-assessment to be conducted by SO/AC/NomCom and their relevant component parts to evaluate continuous improvement efforts of SO/AC/NC based on good practices. i. This should incorporate relevant outputs from previous Organizational Reviews and improvements implemented as part of ongoing continuous improvement efforts. d. Develop guidelines for the self-assessment that could be carried out by each SO/AC/NomCom and their relevant component parts, as applicable. e. Develop guidelines for the evaluation by a post-Pilot Holistic Review Team. i. Consider how the input from self-assessments conducted by the various SO/AC/NomCom and their component parts should be aggregated and analyzed. ii. Consider what additional fact finding is needed to inform the evaluation by a post-Pilot Holistic Review Team.	• *Assessment report of existing SO/AC/NC continuous improvement efforts.* • *Guiding principles to define good practices.* • *Guiding principles/parameters and criteria for a self-assessment to be conducted by SO/AC/NomCom and their relevant component parts to evaluate continuous improvement efforts of SO/AC/NC based on good practices.* • *Guidelines for the self-assessment.* • *Guidelines for the evaluation by a post-Pilot Holistic Review Team.*

Holistic Review Pilot ToR – Current Deliverables

- Project deliverable: A list of evidence-based findings should be created and socialized with the community, Board, and ICANN org before the Pilot Review Team moves toward developing draft recommendations.
- The findings will assist with developing a shared agreement of what needs to be improved and will inform subsequent recommendations, keeping them focused on addressing findings.

   ➡ **MATCHING OBJECTIVE DELIVERABLES**

- Project deliverable: Consult ICANN org and Board for initial input on the level of effort required and expected impact of the recommendations being considered.
- An open and transparent exchange between the review team, subject matter experts, ICANN org, and Board must occur so that the identified problems, the recommended solutions, and the expected impact of implementation is clearly defined and well understood by all. ICANN org can advise if an ODP style step should be considered when warranted by the complexity of a given recommendation.
- The review team shall take into consideration the expected impact of implementation on ICANN resources and on the ICANN community workload.

   ➡ **TO BE MOVED UNDER WORK APPROACH SECTION**

- Project deliverable: SO/ACs should also be engaged early in the process to ensure their input on findings is considered, especially as it relates to their unique operations, processes and procedures.
- Early SO/AC engagement will help flag potential issues with recommendations, before they are finalized and included in the report.

   ➡ **TO BE MOVED UNDER WORK APPROACH SECTION**

Holistic Review Pilot ToR – Current Deliverables

- Published deliverable: Draft report to be posted for Public Comment. (Use relevant ICANN org templates).

➡️ **MATCHING OBJECTIVE DELIVERABLES**

- Published deliverable: Pilot Review Team response to public comments - how the comment will be addressed, reasoning in situations where the comment will not be addressed. (ICANN org templates available).

➡️ **TO BE MOVED UNDER WORK APPROACH**

- Published deliverable: Final report to be approved or adopted by the SO/ACs prior to being sent to the Board.

➡️ **MATCHING OBJECTIVE DELIVERABLES**

- Published deliverable: Assessment of how the pilot went and ways that the Holistic Review design/scope/guidance should be improved based upon the pilot (lessons, insights and improvements for how to shape future Holistic Reviews). This assessment should include views of the Pilot Holistic Review Team, the SO/ACs, Board and ICANN org

➡️ **MATCHING OBJECTIVE DELIVERABLES**