



AoC Reviews Implementation Overview

15 March 2013

Agenda

9:15 am – 10:30 am

➤ Review and Discussion of ATRT1

- Overview & Reporting
- Board Operations, Composition & Review of Decisions
- GAC Operations, Engagement, Interaction w/ Board
- Public Input & Multilingual Access

10:30 am – 10:45 am

➤ Break

10:45 am – 12:30 pm

➤ Review and Discussion of SSR, WHOIS Reviews

➤ SSR Review

➤ WHOIS Review

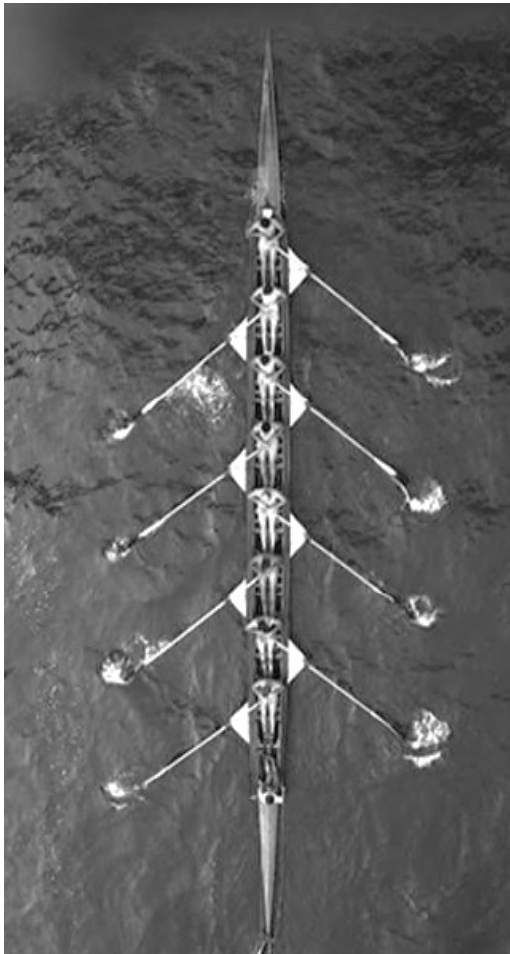
- Overview & Strategic Priority
- EWG, RAA, Data Accuracy/Access
- Compliance
- IDNs
- Information portal & Automated Tools
- Outreach & Communication



ATRT1 Overview & Reporting

Denise Michel

ATRT1 Overview and Reporting



- 27 Recommendations to improve the Board, GAC, Public Input, Review of Board decisions adopted by Board June 2011
- Implemented with extensive reporting; significant improvements made in all of these areas
 - FY 2012 - 63% implemented
 - FY 2012 - 100% implemented

ATRT1 Overview and Reporting



- Key tasks for ATRT recommendation projects completed, does not mean that work in these areas has ceased, long-term improvements underway
- Where's completion point in continuous improvement?
- Success criteria needed.



Board Operations, Composition & Review of Board Decisions

Amy Stathos

ATRT Rec. Nos. 1 and 2 - Board skill sets and training

Recommendations:

1. Board skill sets: (i) benchmarking; (ii) tailoring; (iii) annually review and provide to NomCom; (iv) NomCom publication of requirements
2. Regular reinforcement and review of Board training

Implementation:

1. Benchmarking report published; Standard Operating Procedure (SOP) to provide skills sets to NomCom; SOP to have BGC meetings with NomCom; NomCom publication of required skill sets with call for SOIs, now SOP
2. Board training plan; training during workshops; establishing online training modules; developing robust induction and continuing training program as SOP

ATRT Rec. No. 3 - NomCom Transparency

Recommendation:

3. Board should increase transparency of NomCom's deliberations & decision-making process – timeline; skill sets and choices made

Implementation:

3. SOP to have consultations and information sharing with NomCom; NomCom revised procedures, guidelines and code of conduct; Board imposed transparency guidelines on all NomComs – now SOP; post-selection reporting now SOP

ATRT Rec. Nos. 4 and 5 - Board Performance and Compensation

Recommendations:

4. Continue to enhance Board performance & work practices
5. Implement Compensation scheme for Voting Board Directors

Implementation:

4. SOP to conduct self-appraisals; effectiveness training sessions held; SOP to require committee workplans; updated tools and workflow process; Board Procedure Manual (all SOPs); SOP to evaluate committee effectiveness; informational calls and Board topic leads now SOP
5. SOP - Compensation available to all voting directors

ATRT Rec. No. 6 - PDP vs. Executive Function

Recommendation:

6. Clarify PDP and executive functions; develop appropriate consultation mechanisms for SOs and ACs

Implementation:

6. Conducted research; drafted and posted paper; held public session; SOP to identify in rationale statements; still ongoing discussion

ATRT Rec. Nos. 7, 8 and 19 - Board Materials and Rationales

Recommendations:

7. Publish Board materials related to decision-making; publish rationale for decisions and for accepting or rejecting input
8. Publish redaction conditions
19. Publish translated Board material within 21 days

Implementation:

7. SOP to post all Board papers with approved minutes; post rationales with all resolutions; resolution wiki
8. Redactions conditions are posted and followed as SOP
19. SOP to timely post translated resolutions and preliminary reports

ATRT Rec. No. 20 - Policy Process input

Recommendation:

20. Ensure/certify that inputs in policymaking processes are considered by the Board

Implementation:

20. Checklists developed and coordinated for use by GNSO, ccNSO and ASO; posted and now SOP (first use with IRTP recommendations)

ATRT Rec. Nos. 23, 25 and 26 - Review of Accountability Mechanisms

Recommendations:

- 23. Seek independent expert recommendations on the restructuring of review mechanisms and take action
- 25. Clarify standard and scope of Reconsideration
- 26. Standard timeline & format for Reconsideration Requests; rationale for decisions

Implementation:

- 23. ASEP formed, research and analysis, recommendations posted for comment and adopted by Board
- 25. Standard clarified and adopted; grounds were extended
- 26. Timeline, format and rationales updated, and further changes per ASEP recommendations

ATRT Rec. No. 24 - Ombudsman

Recommendation:

24. Assess Ombudsman operations & relationship between Board; if needed, bring into compliance with internationally recognized standards

Implementation:

24. Formal reporting structure established between Board and Ombudsman; compliant with internationally recognized standards; Ombudsman review and evaluation of Framework now SOP



GAC Operations, Engagement, Interactions with Board

Heather Dryden

Jamie Hedlund

Introduction

- Role and Effectiveness of the GAC and its interaction with the Board
- Board-GAC Joint Working Group Final Report (June 2011)
<http://www.icann.org/en/committees/board-gac-2009/board-gac-jwg-final-report-19jun11-en.pdf>
- Board-GAC Recommendation Implementation Working Group (October 2011)
<http://www.icann.org/en/groups/board/documents/resolutions-22oct11-en.htm#1>
- Implementation substantially complete; ongoing work in some areas to continue indefinitely, recognizing the need for continuous improvement

9. Clarifying GAC Advice under ICANN Bylaws

- ❑ Board, acting through the GAC-Board joint working group, should clarify what constitutes GAC public policy “advice” under the Bylaws

Implementation:

- ❑ Board & GAC agreed on what constitutes advice
- ❑ GAC updated Operating Principles
- ❑ Public notified and clarification embedded in SOPs
- ❑ <https://gacweb.icann.org/display/GACADV/GAC+Advice>

10. Tracking & Requesting GAC Advice

- ❑ Board and GAC should establish formal, documented process by which it notifies the GAC of matters that affect public policy concerns
- ❑ Board should request GAC advice in writing
- ❑ ICANN should develop an on-line tool to track requests to the GAC and advice received from the GAC, documenting Board's consideration of and response to each advice

Implementation:

- ❑ GAC Advice Register, written Board requests embedded in SOP.
<https://gacweb.icann.org/display/GACADV/GAC+Register+of+Advice>
- ❑ Revised format of GAC Communiqué

11. Timely Provision, Consideration of GAC Advice & Board Follow-up

- ❑ Board and the GAC should work together to have the GAC advice provided and considered on a more timely basis
- ❑ Board, acting through JWG, should establish a formal, documented process by which the Board responds to GAC advice

Implementation:

- ❑ GAC Advice Register
- ❑ Increased Board-GAC f2f interaction
- ❑ BGRI-WG considering paper formally documenting process and timelines for Board-GAC consultations
- ❑ Approval expected in Beijing

12 & 13. GAC Early Engagement in Policy Development Process

- Board, acting through JWG, should develop and implement a process to engage the GAC earlier in the policy development process
- Ensure GAC is fully informed of policy agenda and policy staff is aware of GAC concerns

Implementation:

- Face to Face Board/GAC meetings and discussion of policy issues at each ICANN meeting now SOP
- GAC website redesigned (<https://gacweb.icann.org>) and Advice Registry launched
- Increased staff coordination support for GAC processes and involvement within ICANN

12 & 13. Implementation cont'd.

Pilot Project for GAC Early Engagement

- Launched in November 2012 after consultations between Policy Staff and BGRI-WG at Toronto Meeting
- Monthly reports posted on GAC website, highlighting early engagement opportunities in policy development process.
<https://gacweb.icann.org/display/gacweb/GAC+Early+Engagement+Policy+Documents>
- Policy Director assigned to coordinate pilot project and process
- Assessment of Pilot Project and possible improvements to be considered by BGRI-WG in Beijing

14. Increase Support & Commitment of Governments to the GAC process

- ❑ Board should encourage member countries and organizations to participate in GAC, particularly nations in the developing world, and provide multilingual access to ICANN records
- ❑ Board, working with the GAC, should establish a process to determine when and how ICANN engages senior government officials on public policy issues

Implementation:

- ❑ Increased travel support, interpretation and translation services
 - ❑ https://gacweb.icann.org/download/attachments/27132000/GAC%20Travel%20support%20program_20111022_FINAL.pdf?version=1&modificationDate=1323991317000&api=v2
- ❑ Increased staff support
- ❑ GAC capacity working group; increased access and educations
- ❑ ICANN staff outreach on role of GAC and ICANN
 - HLM pilot



Public Input & Multilingual Access

Brian Peck

Public Comment Recommendations



- ❑ **#15** – Incorporate **Prioritization** and **Stratification** based on community input and consultation with Staff.
- ❑ **#16** – Create distinct **Comment** and **Reply** cycles that allow community respondents to address and rebut arguments raised.
- ❑ **#17** – Establish fixed duration **Timelines** to provide adequate opportunity for considered and timely comments and replies.
- ❑ **#21** – Introduce forecasts of upcoming public comment topics to facilitate community planning & participation.

Phase I: June-August 2011



- ❑ Redesigned Public Comment pages to improve consistency, navigation, ease-of-use
- ❑ Developed Staff templates & guidelines to standardize announcements and reporting
- ❑ Implemented **Upcoming Topics** compilation process [[Rec #21](#)]
- ❑ Developed initial drafts for Stratification, Prioritization, Comment/Reply structures
- ❑ Community Focus Group (20 Jul-19 Aug 2011)
 - ❑ Feedback on Stratification/Prioritization and Comment/Reply-Comment processes
 - ❑ Final Report published 31 Aug 2011

Phase II: December 2011

Community Consultation Processes:

- Public Comment Forum (30 Sep–15 Oct 2011)
- Staff Summary & Analysis (20 Oct 2011)
- PPC Approved Final Recommendations (Dec 2011)

Implementation: 1 Jan 2012

- Stratification [\[Rec #15\]](#)
 - Introduced 16 Categories for Public Comments (e.g., Policy Processes, Transparency/Accountability, Security/Stability, Operations-Finances)
- Prioritization [\[Rec #15\]](#)
 - Added Current Status & Next Steps fields to assist in community prioritization decisions
- Comment-Reply Cycles [\[Recs #16-17\]](#)
 - Initial Comment Period = 21 days (minimum)
 - Reply period = 21 days (minimum)
 - [Note: If no substantive comments received, Reply period cancelled]*



Rec. #18 - Multi-lingual Access

Board should ensure access to, documentation within, policy development processes & multi-lingual access to maximum extent feasible.

- The provision of language services is intended to facilitate access to ICANN and participation in its work for those who do not speak or are not fluent in English.
- The cost-effective provision of high quality multilingual services has two main objectives:
 - Make information about ICANN and its work accessible to those who speak languages other than English in ways that enhance participation in and the effectiveness of the multistakeholder model.
 - Make ICANN more effective as a global organization.

Multi-lingual Access providing:

ICANN Language Services Policy & Procedures guide completed, approved and is being implemented.

- ❑ ICANN Bylaws always updated to be synchronized in all languages
- ❑ Translation and posting of all Board related documents within 21 days
- ❑ ICANN Language Services Policy & Procedures document (rules and processes for translation, interpretation, scribing, transcription and related services).

One World

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Break

10:30 am – 10:45 am



SSR Review

Patrick Jones

SSR RT Implementation Overview

- ❑ 28 Recommendations
- ❑ Mapping to ICANN Mgmt Delivery
- ❑ Latest update provided for community in FY 14 SSR Framework, published 6 March 2013
- ❑ Timeline Through FY 15

28 Recommendations -> 6 categories

- High-level – SSR role and remit, strategy; transparency of budget
- Terminology & relationships
- Monitoring, outreach, engagement
- Operations & ICANN functions
- Best Practices
- Risk Management

Mapping to ICANN Mgmt Delivery

- Affirmation of Purpose – Recs 1, 2, 18*, 24* (*=completed)
- Operations Excellence – Recs 7, 8, 17, 20, 21, 9, 10, 11, 22, 25, 26, 27, 15, 28
- Internationalization – Recs 3, 4, 5, 14, 16
- Multi-stakeholder Model Evolution – Recs 6, 12, 13, 19, 23

SSR RT Recommendations Tracking - February 2013

Recommendation	FY 13 T1	T2	T3	FY 14 T1	T2	T3	FY 15 T1	T2	T3
Rec 1 - Clear statement of ICANN's SSR role and remit	Published	Revise	Update						
Rec 2 - Role & remit review in 2015								Review	Publish
Rec 3 - Use consistent terminology	Develop	Ongoing							
Rec 4 - Document & define SSR relationships		Develop	Publish						
Rec 5 - Use SSR relationships for effective working	Ongoing	Ongoing	Ongoing						
Rec 6 - Roles for SSAC (6A) & RSSAC (6B)		Publish							
Rec 7 - Build from SSR Framework, clear objectives & priorities	Develop	Publish	Expected Complete	Reporting					
Rec 8 - Strategic Plan & SSR Framework alignment		Publish	Refine						
Rec 9 - Assess certification options, publish roadmap		Develop	Publish						
Rec 10 - Process for monitoring compliance & investigations (see Whois RT Implementation)		Whois RT Recs							
Rec 11 - Measures for success in nTLD & IDN FT re SSR			Develop	Publish			AoC CCR		
Rec 12 - w/Community, SSR-related best practices	Engage	Discuss							
Rec 13 - Encourage SOs/SGs to develop & publish SSR-related best practices			Expected Complete						
Rec 14 - Evolving SSR outreach		Publish	ongoing	ongoing	review	publish	ongoing	ongoing	
Rec 15 - Facilitate responsible disclosure of threats		Draft	Ongoing	X					
Rec 16 - Outreach w community; process for input		Publish	ongoing	ongoing	review	publish	ongoing	ongoing	
Rec 17 - Mapping activities to SSR Framework		Publish	X	Reporting					
Rec 18 (Implemented w FY 13 SSR Framework) - Annual review of SSR Framework	Complete								
Rec 19 - Dashboard for SSR Framework			Publish	Reporting					
Rec 20 - Transparency on SSR budget			Publish	ongoing					
Rec 21 - Show how budget & op decisions relate to SSR			Publish						
Rec 22 - Documenting mgmt. of SSR issues with operational readiness from introduction of nTLDs		Develop	Publish						
Rec 23 - Appropriate resources for SSR-related WGs & ACs		FY 14 Budget	Budget approx						
Rec 24 (Implemented w FY 13 SSR Framework) - Define Security team roles	Complete								
Rec 25 - DNS Risk Management Framework	Consultant	Draft	Publish	Assess	work	work	Review		
Rec 26 - Prioritizing completion of DNS RMF		Publish	Approx						
Rec 27 - DNS RMF covers IANA, L-root, other functions				Assess	work	work	Review		
Rec 28 - Active engagement in threat detection & mitigation	Underway	X							



WHOIS Review



Overview & Strategic Priority

Denise Michel

Comprehensive effort in response to WHOIS Review Team Report

Nov. 2012 Board Resolution

- ❑ **Focus:** *Enforce current contractual obligations & increase communication/outreach*
- ❑ Detailed Plan for each recommendation
- ❑ Activities span contract negotiations, compliance, online tools



gTLD WHOIS—Strategic Priority

Implementation underway on WHOIS Review Team Recs; plan issued next week

- ❑ Highlighted in operating plans & budgets; Key focus of CEO
- ❑ Expanded Compliance Team under CEO; Strategic Initiatives Team addressing WHOIS
- ❑ CEO overseeing improvements to enforcement of contracts

WHOIS- Strategic Priority



- **CEO Roundtables**
 - Need to improve Industry's Reputation
 - Vision of enhanced contractual framework, to include WHOIS
- **New gTLD Registry Agreement posted**
 - Includes Obligation to use 2013 RAA
- **Proposed 2013 RAA posted**
 - Numerous WHOIS Improvements address law enforcement and community requests

Single Webpage for ICANN WHOIS Policies and Provisions



- ❑ Board directed the CEO to create a single webpage that compiles current gTLD WHOIS policies and contract provisions
- ❑ Work is in progress on the creation of this webpage, with planned completion by April 2013



EWG, RAA Improvements, Data Accuracy/Access

Margie Milam

Update 2013 RAA Negotiations

SIGNIFICANT IMPROVEMENTS ON ACCESS AND ACCURACY

- WHOIS Accuracy Program Specification
 - Validation & verification of email or phone number
- Specification on Privacy/Proxy Services
- WHOIS Specification
 - SLA on Port 43 Access
 - Transition to new IETF Protocol with IDN Capabilities
- Registrant Rights & Responsibilities
 - Education - WHOIS Accuracy Requirements

Expert Working Group

Next Generation Data Directory Services

- ❑ *CEO tasked to go beyond the existing WHOIS protocol and start a new initiative*
 - ❑ Re-examine purpose
 - ❑ provide a proposed model to address data accuracy, access issues, safeguards for protecting data
- ❑ Expert working group to lay foundation for new policy development work
- ❑ Board requested Issue Report to commence a GNSO PDP on WHOIS

Expert Working Group

- Work Currently Underway
 - Conference calls & 2 FTF meetings, travel costs provided
 - Periodic updates to the ICANN Community
 - Community discussion to be sought online and in Beijing
- Expert Working Group Facilitator-
Jean-Francois Baril
- Board Liaisons to Expert Group-
Steve Crocker and Chris Disspain



Compliance

Maguy Serad

WHOIS Review – Contractual Compliance Update

*Improvements to the **Enforcement** of the current obligations on gTLD Whois and Increased Communications*

- ✓ Mid September 2012
 1. Rolled out a Consistent Process
 2. Shortened Time to Resolution
 3. Improved Processing Quality and Effort
 4. Requiring Proof of Investigative efforts
- ❑ Year-One Audit Program launched, includes review of:
 - ❑ Inaccuracy responses
 - ❑ Whois data elements “population”
 - ❑ Website for free public Whois Access
 - ❑ Registry Data Escrow against Bulk Zone File (match not accuracy of information)

WHOIS Review – Contractual Compliance Update

Improvements to the Enforcement of the current obligations on gTLD Whois and Increased Communications

- ✓ Compliance Outreach Sessions by contracted party, region or at ICANN meetings
- ✓ Compliance Metrics for
 - ✓ Reporting
 - ✓ Proactive Compliance Improvements
- ✓ Compliance Reporting
 - ✓ Publish Annual Report and on-going Monthly Updates
 - Reporting will be in 6 UN languages
 - Online Access to Compliance Metrics on MyICANN – April 2013

WHOIS Review – Contractual Compliance Update

Improvements to the Enforcement of the current obligations on gTLD Whois and Increased Communications

- ❑ Roll out Improved Customer Interface starting end of March 2013
 - User Friendly & Easier Navigation
 - Frequently Asked Questions and Guidance will be in 6 UN languages
 - Filing a complaint will be in English
- ❑ Centralized Complaint Management System
 - ❑ Rollout of current complaints to be completed no later than June 2013
 - ❑ Add new gTLD complaints
 - ❑ Add multiple complaint filing ability



Internationalized Registration Data

Steve Sheng

Internationalized Registration Data

1. Task a working group to determine the appropriate IDN registration data requirements
Produce a data model
2. Incorporate the data model in the relevant Registry and Registrar agreements
3. Valuate available solutions
4. Provide regular updates on development of the IRD



Information Portal & Automated Tools

Chris Gift

Information Portal

- Initial plan is due for review by April 7th.
- No foreseeable issues, it's simply a question of resources and schedule

Data Accuracy

- ❑ Initial plan is due for review by April 7th.
- ❑ Generate dynamic reports on the completeness and accuracy of Whois (not individual records).
- ❑ Reports will be generated by statistical sampling Whois records across all TLDs.
- ❑ Issues with sampling and reporting on individual records.
- ❑ Definition of 'accuracy' is critical.

Global WHOIS Search

- Initial plan is due for review by April 7th.
- No foreseeable issues, it's simply a question of resources and schedule

IDN WHOIS Records

- Initial plan is due for review by April 7th.
- Issues with sampling and reporting on individual records.
- Definition of 'accuracy' is critical.



Outreach & Communication

Lynn Lipinski

WHOIS Review – Outreach & Communication Plan Objectives

- ❑ Raise awareness of policy development efforts to answer questions such as why Whois data is collected and what purpose it serves
- ❑ Promote information portal (being developed by ICANN Online Services staff) as an easy way to access the existing Whois information and notify relevant parties of data accuracy issues

WHOIS Review – Outreach & Communication Target Audiences

- ICANN Community (ASO, ccNSO, GNSO, ALAC, GAC, RSSAC and SSAC)
- Internet Community (IETF, ISOC, etc.)
- Consumer Rights/Privacy Organizations
- Business Community
- Domain registrants

WHOIS Review – Outreach & Communication Tactics

- Kick-off announcement, news release, supplemented with social media outreach.
- Create fact sheet or brochure in Arabic, Chinese, English, French, Russian and Spanish.
- With global engagement team, develop a list of organizations that might be interested in the issue and reach out to them directly that the issue is coming to forefront.
- Promote program milestones through announcements and social media.
- Keep up-to-date slide deck on Whois issues for speaker's bureau opportunities.
- Create video of how to use portal in Arabic, Chinese, English, French, Russian and Spanish.



Thank You

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Questions