

## WORK STREAM 4

### PRELIMINARY RECOMMENDATIONS ON NEW ISSUES:

	<b>ISSUE:</b>	<b>Observations:</b>	<b>Possible Recommendations</b>
1.	Previous review processes	<p>a. Appointment of Review Teams</p>	<p>1. It should be ensured that Review Teams are appointed in due course allowing them to start their work January 1 of the calendar year in which the review is supposed to take place.</p>
		<p>b. Getting the review teams started</p>	<p>2. In order to facilitate the reviews by Review Teams of the appropriate implementation by ICANN of recommendations from previous Review Teams ICANN should before the start of the calendar year of the review in question prepare an implementation report. This report should be submitted for public consultation. The implementation report including the consultation report should be ready for the Review Team by 1 January of the calendar year of the review.</p>
		<p>c. Budget transparency and accountability:</p>	<p>3. ICANN should ensure in its budget that sufficient resources are allocated for the reviews to fulfill their role, including but not limited to the establishment of an independent secretariat to assist Review Teams as well as accommodation of requests from the Review Teams to appoint independent experts/consultants if deemed necessary by the teams</p> <p>4. ICANN should already at the initial stage before a review is initiated account for and publish the budget for the review together with a rationale for the amount allocated. The budget should be established based on i.e. the experiences achieved from the work of the previous teams, including ensuring a continuous assessment and adjustment of the budget according to the needs of the reviews.</p>

		<p>d. Incorporation of review teams input into ICANN strategic plan</p>	<p>5. ICANN should ensure that the ongoing work of the AOC reviews, including implementation, is fed into the work of ICANN Strategy Panels. The CEO announced the appointment of these panels at the Durban meeting and the panels have been established by the CEO outside the multi-stakeholder processes as well as separate from but with a similar focus as the reviews mandated in the AOC.</p>
		<p>e. Institutionalization of progress</p>	<p>6. ICANN should ensure strictly co-ordination of the various review processes so as to have all reviews done before next ATRT reviews with proper linkage of issues within the AOC and consider the function of a technical facilitator whose mandate is to co-ordinate the reviews.</p>
<p>2.</p>	<p>Review actions of the Board and staff in ensuring public interest</p>	<p>a. Finance Accountability and Transparency</p>	<p>7. In order to improve accountability and transparency and facilitate the work of the Review Teams ICANN's Board should each year on a rolling basis establish a Programme of Work and Budget (PWB) reflecting the planned activities and the corresponding expenses. (The PWB may cover a two year period.) The following year a report should be drafted describing the actual implementation of the PWB including activities as well as related expenses. Budgets that are related to the timeline of the strategy – more than one year – preferred for a period of three years.</p> <p>8. ICANN shall use its finances according to the published operating plan and in cases of deviation make and publish a deviation report as soon as possible. A quarterly report could be made.</p> <p>9. ICANN shall report to the international internet community done in an accountable and transparent way including doing this in a timely manner in order to give time to comments and adjustments afterwards. The timing of the reporting shall be made in such a manner that it allows the internet community to</p>

			<p>have an impact on the budget.</p> <p>10. Independent expert on use of finances</p>
		b. Publication of yearly statistical reports on transparency	<p>11. ICANN should include a yearly transparency report as part of its yearly report. ICANN Transparency report needs to include a section on Employee whistleblowing activity including metric on:</p> <ul style="list-style-type: none"> <li>i. Reports submitted</li> <li>ii. Reports that resulted in change to ICANN practices</li> </ul> <p>This report should be created under the supervision of the ICANN Ombudsman. This requires a change to By-laws on the Ombudsman scope</p>
		c. Ombudsman relationship with ICANN	<p>12. There is a need for ICANN to review ombudsman bylaw to ensure adherence to international standards in an effort to build confidence amongst stakeholders</p> <p>13. ICANN needs to reconsider the role of the Ombudsman office as a symbol of good governance and incorporate the office in transparency processes.</p> <p>14. ICANN should consider the use of the Ombudsman in internal mediation processes.</p>
		d. Whistle blower policy	<p>15. There is a need for ICANN to develop a robust whistle blower policy. ICANN must arrange for a profession review of its current whistleblower policy to insure that the ICANN program meets the highest standards as established by tbd</p> <ul style="list-style-type: none"> <li>o This report to be made public</li> <li>o Processes for ICANN employee transparency and whistleblowing to be made public</li> </ul>
		e. Volunteer engagements	<p>16. A reliance on volunteers for doing functions that would be done by professionals: not a good model for a review group carrying out such an important task.</p>
		f. Cross constituency work	<p>17. Look for opportunities where there are real benefits from joint-</p>

			<p>efforts. The Board in particular could charter cross-constituency groups where there are synergies between and amongst ICANN units.</p> <ul style="list-style-type: none"> <li>• keep up the efforts currently underway for broader cross-community</li> <li>• learn from previous efforts and produce guideline for future effort</li> </ul>
		g. Multilingual Quality	18. ICANN needs to make every effort to improve on quality of translations in line with local language used in the specific regions. By ensuring all ICANN information is correctly translated so that it communicates the correct message to the various language users.
		h. Public participation process	19. There is a need for ICANN to develop a clear distinct comment and reply period
3.	Legitimacy and Out reach	a.GAC Improvements with regard to transparency and work methodology	<p>20. Convening “GAC 101” sessions for the ICANN community, to provide greater insight into how individual GAC members prepare for ICANN meetings in national capitals, how the GAC agenda and work priorities are established, and how GAC members interact intersessionally and during GAC meetings to arrive at consensus GAC positions that ultimately are forwarded to the ICANN Board as advice;</p> <p>21. Agendas for GAC meetings, conference calls, etc. could be published on the GAC website 7 days in advance of the meetings and meeting minutes for all should be published on the GAC website with 7 days after each meeting or conference call.</p> <p>22. The GAC website could be updated and improved to more accurately describe GAC activities, including intersessional activities as well as publish all relevant GAC transcripts, positions and correspondence;</p> <p>23. Consider whether and how to open GAC conference calls to</p>

			<p>other stakeholders to observe and participate, as appropriate. This could possibly be accomplished through the participation of “reverse liaisons” from the ICANN AC’s and SO’s, once that mechanism has been agreed and implemented; and,</p> <p>24. The GAC should formally adopt a policy of open meetings to increase transparency into GAC deliberations, and to establish and publish clear criteria for closed sessions.</p> <p>25. The GAC should develop and publish rationales for GAC Advice.</p> <p>26. The GAC should develop a code of conduct for GAC representatives that address issues as conflict of interest, transparency and accountability, adequate resource commitments, and consistency of position taken in with GAC with existing relevant national and international laws.</p> <p>27. The GAC should regularize senior officials meetings and convene a meeting at a minimum of every two years.</p> <p>28. The GAC and ICANN’s Global Stakeholder Engagement Group (GSEG) should develop standards for engaging governments to ensure coordination and synergy of efforts to facilitate early cross constituency engagement</p>
		b. Government Outreach	<p>29. On improving outreach to governments, ICANN should include a baseline and goal to be reached with clear plan on relations to GAC as well as to non GAC members.</p> <p>A) ICANN should enhance its activities aiming at making ICANN’s work relevant for stakeholders in those parts of the world where stakeholders are less active participants in the work of ICANN than stakeholders in other parts in order to ensure that ICANN’s decisions are “embraced,</p>

			<p>supported and accepted by the public and the Internet community” in all parts of the world.</p> <p>B) For each region of the world ICANN should develop an operational plan on how to develop and improve the local domain name business to ensure that local enterprises and entrepreneurs fully and on equal terms can make use of ICANN’s services including new gTLD’s. The operational plan should identify any barriers from a local perspective and present action points to address barriers or in the case that general ICANN rules or policies present an obstacle the plan should make recommendations for consideration of the problem in ICANN’s policy-making processes. The operational plan should be made in cooperation with local stakeholders. The operational plan should include a baseline of the local access to ICANN’s services. The plan should be presented for public consultation. The operational plans should be finalized by xx.yy.201z</p> <p>30. ICANN/GAC interaction can be summarized and communicated in a more structured way to increase the transparency on how ICANN reacts to GAC advice (e.g. by using information in the GAC advice register), could be summarized in an annual report, timing to be presented at global IGF</p>
4.	Board and staff review and implementation of recommendations		31. Development of baselines and clear goals to be achieved and metrics as a tool to guide in decision making and implementation of recommendations.

