

WORK STREAM 4

PRELIMINARY RECOMMENDATIONS ON NEW ISSUES:

	ISSUE:	Observations:	Possible Recommendations
1.	Previous review processes (Template by Brian Cute and Fiona)	a. Appointment of Review Teams	We recommend the review teams be appointed in good time allowing them to run their work within the 1 year process that the review is supposed to take place regardless of the time when the team is established. It is important for staff to understand the cycle and the selection process to begin in good time bearing in mind that the mandate of the specific review team.
		b. Getting the review teams started	We recommend ICANN prepare a complete implementation report to be ready by Review kick-off. This report we suggest be submitted for public consultation and benchmarks and metrics be incorporated.
		c. Budget transparency and accountability:	We recommend the ICANN Board ensure in its budget that sufficient resources are allocated for the review teams to fulfill their role, including but not limited to accommodation of requests from the Review Teams to appoint independent experts/consultants if deemed necessary by the teams. At the initial stage before a review is initiated ICANN account for and publish the budget for the review together with a rationale for the amount allocated. The budget should be established based on 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>d. Incorporation of review teams input into ICANN strategic plan and Institutionalization of progress</p>	<p>We recommend that</p> <ul style="list-style-type: none"> i. ICANN ensures that the ongoing work of the AOC reviews, including implementation, is fed into the work of other ICANN strategic activities where appropriate. ii. ICANN ensure strict 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.
2.	<p>Review actions of the Board and staff in ensuring public interest</p>	<p>a. Finance Accountability and Transparency (Template by Lise, and Jorgen)</p>	<p>a) The Board should implement new financial procedures in ICANN that can effectively ensure that the Internet Community, including ICANN’s Supporting Organizations (SO) and Advisory Committees (AC) can participate and assist the Board of Directors in the planning and prioritizing the work and development of ICANN</p> <p>b) Being a non-profit organisation operating and delivering its services in a non-competitive environment, ICANN should when preparing its budget for the coming year explicitly consider the cost-effectiveness of its operations, including how expected increases in the income of ICANN should be reflected in the priority of activities and pricing of services. These considerations should be subject of a separate consultation.</p> <p>c) Being a non-profit organisation operating and delivering its services in a non-competitive environment ICANN should every three years carry out a benchmark study on relevant parameters e.g. levels of compensation to staff members, benefits to staff, costs of housing, size of organization etc.</p> <p>d) In order to improve accountability and transparency and facilitate the work of the Review Teams ICANN’s Board should base the yearly budgets on a multiannual financial framework [covering e.g. a two-year period] reflecting the planned activities and the corresponding expenses. The following year a report should be drafted describing the actual implementation of the framework, including activities and the related</p>

			<p>expenses. This includes specified budgets for the AC/SOs</p> <p>e) The financial reporting should include specification of cost for each AC/SO.</p> <p>f) The Finance Committee of the Board of Directors shall submit the budget to the Supporting Organization and Advisory Committees for a 30 days consultation and 21 days reply period.</p> <p>g) After the close of the consultation period the Board of Directors shall prepare a report stating to what extent it will accommodate the community input and give reasons if and why it decides not to accommodate proposals. The Board of Directors shall hold an open meeting with the Supporting Organizations and Advisory Committees to discuss the financial decisions in the report.</p> <p>h) The Board of Directors shall send the revised budget for a final public 21 days consultation period after which the budget will be subject to approval by the Board of Directors.</p>
		<p>b. Publication of yearly statistical reports on transparency (Template by Avri)</p>	<p>10. 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"> i. Reports submitted ii. Reports that resulted in change to ICANN practices <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>
		<p>c. Ombudsman relationship with ICANN (Template by Avri and Carlos)</p>	<p>11. There is a need for ICANN to review ombudsman bylaw to ensure adherence to international standards in an effort to build confidence amongst stakeholders ICANN needs to reconsider the role of the Ombudsman office as a symbol of good governance and incorporate the office in transparency processes. ICANN should consider the use of the Ombudsman in internal mediation processes.</p>

		d. Whistle blower policy (Template by Avri)	12. 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 <ul style="list-style-type: none"> ○ This report to be made public ○ Processes for ICANN employee transparency and whistleblowing to be made public
		e. Volunteer engagements (Template by Alan, Olivier and Carlos)	13. 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.
		f. Multilingual Quality and Timelines (Template by Fiona and Lise)	14. 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.
		g. Public participation process Template by Brian Cute)	15. There ia 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 (Template by Larry)	16. 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; 17. 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. 18. 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,

			<p>positions and correspondence;</p> <p>19. Consider whether and how to open GAC conference calls to 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>20. 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>21. The GAC should develop and publish rationales for GAC Advice.</p> <p>22. 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>23. The GAC should regularize senior officials meetings and convene a meeting at a minimum of every two years.</p> <p>24. 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>
		<p>b. Government Outreach (Template by Jorgen and Larry)</p>	<p>25. 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</p>

			<p>order to ensure that ICANN’s decisions are “embraced, supported and accepted by the public and the Internet 26. 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</p>
4.	Board and staff process for review and implementation of recommendations	(Template by Avri and Brian)	27. Development of baselines and clear goals to be achieved and metrics as a tool to guide in decision making and implementation of recommendations.
			<p>28.a) Recommend that in responding to AoC RTs, the Board must respond with clarity and precision. Despite some Board and Staff members believing that this was done in all cases, the response to the Whois RT was viewed as cryptic and opaque</p> <p>b) many on the RT as well as others in the community. The investment made by RTs is significant and some on the Whois RT feel that there efforts were close to wasted. This should not happen again.</p>
5.	PDP process (Alan)	Working groups (Independent Expert)	
6	Unknown input	Olivier	