

# ATRT2 Recommendation 1 Implementation

## Board Performance and Work Practices

Recommendation fully implemented as of 3 February 2016

### Implementation 1 Timeline



February  
2016

### Recommendation 1 Implementation Description

ATRT2 Recommendation 1 states: The Board should develop objective measures for determining the quality of ICANN Board members and the success of Board improvement efforts, and analyze those findings over time.

The Board Governance Committee (BGC) worked with staff to develop a comprehensive onboarding training program aimed at ensuring new Board members will be able to carry out their roles and responsibilities effectively. To this end, an “onboarding” training session was provided to the full Board on 24 April 2015 to ensure that the current Board has equal understanding and knowledge of their fiduciary responsibilities. The training material has been published online to the extent ICANN had the rights to do so. (<https://www.icann.org/resources/pages/training-materials-2015-06-09-en>) The new Board members (AGM 2015) completed a full day of on-boarding training on Oct. 15<sup>th</sup>, 2015 during the AGM at which they took their seats.

Staff has put in place an ongoing training and development program for Board members, aimed at building new skills and knowledge and to enhance the performance of Board members in specific areas of expertise. Assessment of the training provided is being conducted to measure the effectiveness of the program and improvement efforts, and to determine what additional steps can be taken to further improve the quality of the training programs.

An initial set of KPIs including training efficiency and Board performance was approved by the Board on 3 February 2016. These meet the requirements in ATRT2.

### Status of Deliverables

	Responsible	Re-Plan Date	Original Due Date
Develop Board Member Skills Assessment	Staff		✓
Ensure Board members complete Board Member Skills Assessment	Staff		✓
Develop “Onboarding” Training Program	Staff		✓
Develop Training Platform to host onboarding/development/ongoing training resources	Staff		✓
Develop Post-training assessment	Staff		✓
Publication of Training Material	Staff		✓
Initial set of KPIs including training efficiency and Board Performance documented and vetted with the BGC and the Board in preparation for operationalization	Staff	✓	
Development of a list of preferred development/ongoing training providers, with geographical representation	Staff	✓	



Complete

Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted



# ATRT2 Recommendation 1 Implementation

## Board Performance and Work Practices

Recommendation fully implemented as of 3 February 2016

### Recent Update

Staff has put in place a Development Training Program for the Board that starts with the submission, to the Board Governance Committee (BGC) Chair and Board Chair, of individual, detailed training plans for each Board member. Upon approval of the individual training plans, staff provides tailor-made recommendations and guidance to Board members as to how to reach their respective development goals (for example, staff to assist with the search of dedicated programs and resources matching the training needs of each Board member, assistance with registration for training plans, negotiation with providers, monitoring of each individual Board member's training budget).

A list of preferred training providers with geographical representation was established based on past assessments and will be regularly assessed and refined by staff.

A second set of more substantial KPIs on Board Performance as well as the process by which the Board will conduct ongoing measurement, tracking and evaluation based on the agreed upon KPIs is currently being drafted for assessment by BGC in the second semester 2016.

### Project Status

This project had both short term and long term components. ICANN staff mapped out specific tasks, milestones, deliverables and dependencies to implement all aspects of the ATRT2 Rec 1. The following short term improvements have been realized:

- A comprehensive onboarding training program focusing on the full Board's role in Board Governance, Finance, Audit and best practices, has been developed.

The first session of the newly developed program was held with the Board on 24 April 2015 in order to help ensure a common set of skills and understanding across the Board. The material used for this training has been published online at

<https://www.icann.org/resources/pages/training-materials-2015-06-09-en>.

- Following the assessment of this training session, the material has been further developed and new Board members (AGM October 2015) have completed a full day on-boarding training during ICANN54. The updated material is posted online:

<https://www.icann.org/resources/pages/training-materials-2015-06-09-en>.

- Several additional training modules are being developed to ensure that Board Members gain knowledge in technical and non-technical areas. Material will be posted online to the extent ICANN has the right to do so.

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- Additionally, a Board Training Platform has been assembled in partnership with ICANN-learn (<http://learn.icann.org>), in order to make accessible to Board members a wide range of resources available across the Community. Specific training modules, such as training on Board tools in order to optimize the use of advanced tools across the Board or Policy webinars to keep the Board abreast of PDPs, are also being developed. A summary of the trainings available is posted on <https://www.icann.org/resources/pages/training-materials-2015-06-09-en>
- In parallel, we continue to assess Board member skill sets, through individual training plans that have been completed and help identify and propose tailor-made training programs for individual Board members, as well as inform any general training for the full Board that might be beneficial.
- In February 2016, the Board approved the initial set of KPIs and agreed to continue to develop of more comprehensive, richer set of KPIs and other relevant metrics with which the Board can measure its effectiveness and improvement over time – see [Board resolution for more details](#).
- The tracking and analysis of these metrics over time will help ICANN to measure progress and identify areas needing adjustment; this will be part of the ongoing effort overseen by the BGC.

### Implementation Notes

Board Governance Committee members, assisted by the relevant staff members, continue to ensure that the Board is comfortable with the process of assessing their skill sets and following relevant trainings. They participated in the organization of the 24 April 2015 training session and of the 15 October 2015 on-boarding training, which will now be made part of standard operating procedures.

There is a significant challenge in developing objective metrics to measure an individual's skill set, as well as how to objectively measure improvements over time. To mitigate, staff has spent sufficient time with necessary experts (such as third party trainers and Board assessment experts) during the development process to help the BGC determine a first set of KPIs based on best practices in non-profit public benefit corporations. Staff is assessing, through surveys and post-training assessments, the quality of each training provided to the Board in order to implement improvements on an ongoing basis. Staff continues to populate the Board Training Platform with relevant resources and training materials. The Board Training Platform allows staff to track training courses completed by Board members and the regular monitoring (every two months) of the KPIs by BGC and the Project leaders to enable early identification of indicators not moving in the expected directions to inform changes in approach.

# ATRT2 Recommendation 2 Implementation

## Board Performance and Work Practices

Recommendation fully implemented as of 3 February 2016

### Implementation 2 Timeline



February  
2016

### Recommendation 2 Implementation Description

Recommendation 2 states: The Board should develop metrics to measure the effectiveness of the Board's functioning and improvement efforts, and publish the materials used for training to gauge levels of improvement.

The Board Governance Committee (BGC) worked with staff to develop a comprehensive onboarding training program aimed at ensuring new Board members will be able to carry out their roles and responsibilities effectively. To this end, an "onboarding" training session was provided to the full Board on 24 April 2015 to ensure that the current Board has equal understanding and knowledge of their fiduciary responsibilities. The training material has been published online to the extent ICANN had the rights to do so (<https://www.icann.org/resources/pages/training-materials-2015-06-09-en>) The new Board members (AGM 2015) completed a full day of on-boarding training on Oct. 15<sup>th</sup>, 2015 during the AGM at which they took their seats.

Staff has put in place an ongoing training and development program for Board members, aimed at building new skills and knowledge and to enhance the performance of Board members in specific areas of expertise. Assessment of the training provided is being conducted to measure the effectiveness of the program and improvement efforts, and to determine what additional steps can be taken to further improve the quality of the training programs.

An initial set of KPIs including training efficiency and Board performance was approved by the Board on 3 February 2016. These meet the requirements in ATRT2.

### Status of Deliverables

	Responsible	Re-plan Date	Original Due Date
Develop Board Member Skills Assessment	Staff		✓
Ensure Board members complete Board Member Skills Assessment	Staff		✓
Develop "Onboarding" Training Program	Staff		✓
Develop Training Platform to host onboarding but also "development/ongoing" training resources	Staff		✓
Develop Post-training assessment	Staff		✓
Publication of Training Material	Staff		✓
Initial set of KPIs including training efficiency and Board Performance documented and vetted with the BGC and the Board in preparation for operationalization	Staff	✓	
Development of a list of preferred development/ongoing training providers, with geographical representation	Staff	✓	



Complete

Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted



# ATRT2 Recommendation 2 Implementation

## Board Performance and Work Practices

Recommendation fully implemented as of 3 February 2016

### Recent Update:

Staff has put in place a Development Training Program for the Board that starts with the submission, to the Board Governance Committee (BGC) Chair and Board Chair, of individual, detailed training plans for each Board member. Upon approval of the individual training plans, Staff provides tailor-made recommendations and guidance to Board members as to how to reach their respective development goals (for example, staff to assist with the search of dedicated programs and resources matching the training needs of each Board member, assistance with registration for training plans, negotiation with providers, monitoring of each Board member's training budget).

A list of preferred training providers with geographical representation was established based on past assessments and will be regularly assessed and refined by staff.

A second set of more substantial KPIs on Board Performance as well as the process by which the Board will conduct ongoing measurement, tracking and evaluation based on the agreed upon KPIs is currently being drafted for assessment by BGC in the second semester 2016.

### Project Status

This project had both short term and long term components. ICANN staff mapped out specific tasks, milestones, deliverables and dependencies to implement all aspects of the ATRT2 Recommendation 2. The following short term improvements have been realized:

- A comprehensive onboarding training program focusing on the full Board's role in Board Governance, Finance, Audit and best practices has been developed. The first session of the newly developed program was held with the Board on 24 April 2015 in order to help ensure a common set of skills and understanding across the Board. The material used for this training has been published at: <https://www.icann.org/resources/pages/training-materials-2015-06-09-en>
- Following the assessment of this training session, the material has been further developed and new Board members (AGM October 2015) have completed a full day on-boarding training during ICANN54. The updated material is posted online: <https://www.icann.org/resources/pages/training-materials-2015-06-09-en>
- Several additional training modules are being developed to ensure that Board members gain knowledge in technical and non-technical areas. Materials will be posted online to the extent ICANN has the right to do so.

# ATRT2 Recommendation 2 Implementation

## Board Performance and Work Practices

Recommendation fully implemented as of 3 February 2016

- Additionally, a Board Training Platform has been assembled in partnership with ICANN Learn (<http://learn.icann.org>), in order to make accessible to Board members a wide range of resources available across the Community. Specific training modules, such as training on Board tools in order to optimize the use of advanced tools across the Board or Policy webinars to keep the Board abreast of PDPs, are also being developed. A summary of the trainings available is posted on <https://www.icann.org/resources/pages/training-materials-2015-06-09-en>
- In parallel, we are in the process of assessing Board member skill sets, through individual training questionnaires that have been completed and will help identify and propose tailor-made training programs for individual Board members, as well as inform any general training for the full Board that might be beneficial.
- In February 2016, the Board approved the initial set of KPIs and agreed to continue to develop of more comprehensive, richer set of KPIs and other relevant metrics with which the Board can measure its effectiveness and improvement over time – see [Board resolution](#) for more details.
- The tracking and analysis of these metrics over time will help ICANN to measure progress and identify areas needing adjustment; this will be part of the ongoing effort overseen by the BGC.

### Implementation Notes

Board Governance Committee members, assisted by the relevant staff members, continue to ensure that the Board is comfortable with the process of assessing their skill sets and following relevant trainings and have participated in the organization of the 24 April 2015 training session and of the 15 October 2015 on-boarding training, which will now be made as part of standard operating procedures.

There is a significant challenge in developing objective metrics to measure an individual's skill set, as well as how to objectively measure improvements over time. To mitigate, staff has spent sufficient time with necessary experts (such as third party trainers and Board assessment experts) during the development process to help the BGC determine a first set of KPIs based on best practices in non-profit public benefit corporations. Staff is assessing, through surveys and post-training assessments, the quality of each training provided to the Board in order to implement improvements on an ongoing basis. Staff continues to populate the Board Training Platform with relevant resources and training materials. The Board Training Platform allows staff to track training courses completed by Board members and the regular monitoring (every two months) of the KPIs by BGC and the Project leaders enable early identification of indicators not moving in the expected directions to inform changes in approach.

# ATRT2 Recommendation 3 Implementation

## Board Performance and Work Practices

Recommendation fully implemented as of 3 February 2016

### Implementation 3 Timeline



February 2016

### Recommendation 3 Implementation Description

Recommendation 3 states: The Board should conduct qualitative/quantitative studies to determine how the qualifications of Board candidate pools change over time and should regularly assess Directors' compensation levels against prevailing standards.

With respect to the first part of this recommendation, it is not in the Board's remit to affect Board candidate pools. This falls within the remit of the Nominating Committee as well as the community groups that nominate individuals for the Board. However, to be responsive to ATRT2, the Board offered to discuss this topic with the Nominating Committee in a joint meeting during which the Board usually provides input regarding required skill sets.

In order to evaluate the qualifications of Board members over time, we developed a Board self-assessment questionnaire. This questionnaire has been completed by all current Board members and will be completed by new Board members when they join the Board. This will help identify tailor-made training programs for individual Board members, and provide general training for the full Board.

Staff put in place a development/ongoing training program to build new skills and knowledge among the Board to enhance performance of the Board and its members in specific areas of expertise.

In February 2016, the Board approved the initial set of KPIs and agreed develop more comprehensive, richer KPIs and other relevant metrics with which the Board can measure its effectiveness and improvement over time – see [Board resolution](#) for more details. With regard to ATRT2, the recommendation has been met and can be considered closed.

The tracking and analysis of these metrics over time will help to measure progress and identify areas needing adjustment, as part of ICANN's continuous improvement effort.

### Status of Deliverables

	Responsible	Re-plan Date	Original Due Date
Develop a Board self assessment questionnaire	Staff		✓
Ensure that the Board completes self-assessment questionnaire	Staff		✓
Develop Post Training Skills Assessment	Staff		✓
Operationalize regular assessment of Directors' Compensation	Staff		✓
Initial set of KPIs including training efficiency and Board Performance documented and vetted with the BGC and the Board in preparation for operationalization	Staff	✓	
Recommendation Complete/Operationalized	Staff	✓	



Complete

Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 3 Implementation

## Board Performance and Work Practices

Recommendation fully implemented as of 3 February 2016

### Recent Update:

A second set of more substantial KPIs on Board Performance as well as the process by which the Board will conduct ongoing measurement, tracking and evaluation based on the agreed upon KPIs is currently being drafted for assessment by Board Governance Committee (BGC) in the second semester 2016. This continuous evolution of the Board's KPIs goes beyond the scope of what was recommended in ATRT2. The Board thanks the ATRT2 Review Team for expediting its plan to develop the tools so it can measure its own effectiveness on an ongoing basis. For the purposes of ATRT2, the recommendations have been addressed and can be considered closed.

### Project Status

This project had both short term and long term components. ICANN staff mapped out specific tasks, milestones, deliverables and dependencies to implement all aspects of ATRT2 Recommendation 3. The following short term improvements have been realized:

- The Board self-assessment questionnaire has been developed and completed by each Board member. Newcomers to the Board complete this questionnaire immediately upon appointment.
- A first set of KPIs based on best practices in non-profit public benefit corporations and on ICANN's Bylaws has been developed. Additional KPIs are in the process of being developed and will be assessed by BGC in the course of the second semester 2016. They will regularly be reviewed and evaluated by BGC. The BGC has approved an initial set of KPIs to help measure the effectiveness of the Board's improvement efforts and the Board's Performance. The BGC has recommended that the Board adopt this initial set of KPIs to allow for operationalization.

In addition, note that the process for benchmarking Directors' compensation has been operationalized for several years. Since 2009, the Board has regularly directed staff to carry out studies on ICANN Board members' compensation and approved the appointment of an Independent Valuation Expert to advise the Board regarding compensation arrangements. (See <https://features.icann.org/2009-09-30-study-icann-board-compensation> and <https://www.icann.org/resources/board-material/minutes-2010-02-04-en>).

The initial efforts lead first to approving compensation for the Board Chair in August 2010 (See <https://features.icann.org/2011-08-25-process-steps-consideration-board-remuneration>). This effort was followed up by the approval of compensation for the other Board members in December 2011, following ATRT1 Recommendation 5 (See <https://features.icann.org/2011-12-08-atrt-recommendation-5-board-compensation>). The most recent benchmarking of Board member compensation took place during the first half of 2014, as identified in the July 2014 resolution on Board compensation (See <https://www.icann.org/resources/board-material/resolutions-2014-07-30-en#2.b>). The independent valuation report on Board compensation that lead to this resolution was posted for public comment on 30 April 2014. (See <https://www.icann.org/en/system/files/files/board-compensation-considerations-30apr14-en.pdf>.) As indicated in this Report, the commitment is to review Board member compensation regularly, and the current plan anticipates every two years, if feasible and practical.



# ATRT2 Recommendation 3 Implementation

## Board Performance and Work Practices

Recommendation fully implemented as of 3 February 2016

### Implementation Notes

This process is closely tied to the work on Recommendations Nos. 1 and 2, and all three Recommendations (Nos. 1, 2 and 3) are being worked on by the same cross-functional team, which will help with the integration of these implementation efforts. Note that the assessment of the Board candidate pool is limited to the successful candidates, as access to information about the qualifications for all unsuccessful candidates is not available for this purpose.

To the extent there is non-confidential information relating to Board member candidates available, it can be found through links on the ICANN Nominating Committee page at <https://www.icann.org/resources/pages/nomcom-2013-12-13-en>. The Board will suggest that Nominating Committee consider adopting some changes in response to ATRT2 recommendation.

Outside of the execution of the tasks for Recommendation Nos. 1 and 2, impacting directly Recommendation No .3, this Recommendation has been addressed and can be considered closed, see Board resolution: <https://www.icann.org/resources/board-material/resolutions-2016-02-03-en#2.g>. Further, the BGC met with the Nominating Committee in a closed session in Marrakech to begin discussion of this resolution.

# ATRT2 Recommendation 4 Implementation

Policy/Implementation/Executive Function Distinction

Recommendation fully implemented in February 2016

## Implementation 4 Timeline



February 2016

## Status of Deliverables

	Responsible	Due Date
Working Group Initial Report posted for public comment	WG/Staff	✓
Close of public comment period		✓
Review of public comments	WG	✓
Submit Final Report to GNSO Council	WG	✓
GNSO Council consideration of recommendations	GNSO Council	✓
Public comment forum prior to Board consideration	Staff	✓
ICANN Board consideration	Board	✓
Implementation of recommendations	Staff	✓

## Recommendation 4 Implementation Description

Recommendation 4 addresses supporting cross-community engagement aimed at developing an understanding of the distinction between policy development and policy implementation. Work has now been completed by the GNSO where a [working group](#) was formed and developed recommendations in relation to a set of principles that would underpin any GNSO policy and implementation-related discussions. Following the adoption of the recommendations by the GNSO Council, the ICANN Board has now adopted these recommendations and resolved that 'the Board considers ATRT2 Recommendation No.4 hereby completed and invites ATRT3 to review these adopted recommendations in light of the ATRT2 findings and recommendations.



Complete

Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 4 Implementation

Policy/Implementation/Executive Function Distinction

Recommendation fully implemented February 2016

**Recent Update:** Implementation has been completed.

## Project Status

Following the publication of the WG's [Initial Report](#) for [community input](#) prior to the ICANN 52 meeting, the WG reviewed the input received and finalized its report for submission to the GNSO Council. The [Final Report](#), which was adopted by the GNSO Council during its meeting in Buenos Aires in June 2015, includes the following recommendations in relation to the charter questions:

- A set of principles that would underpin any GNSO Policy & Implementation-related discussions, taking into account existing GNSO Operating Procedures. The WG recommends adhering to the principles outlined in section 4 of the Initial Recommendations Report when policy or implementation related issues arise in the implementation phase (Recommendation No.1).
- The WG proposes three new standardized processes for GNSO deliberations (Recommendation No.2) regarding such issues as also outlined in the high level overview in Annex B, namely: GNSO Input Process (GIP); GNSO Guidance Process (GGP), and; GNSO Expedited Policy Development.
- The WG also recommends adding a provision to the GNSO Operating Procedures that clarifies that parallel efforts on similar / identical topics should be avoided. As the manager of the process, the GNSO Council is expected to resolve which process would be the most appropriate to use (Recommendation No.3).
- The WG recommends that the Policy Development Process Manual be modified to require the creation of an Implementation Review Team following the adoption of PDP recommendations by the ICANN Board, but allow the GNSO Council the flexibility to not create an IRT in exceptional circumstances (e.g. if another IRT is already in place that could deal with the PDP recommendations)(Recommendation No.4) and the adoption of the implementation review team principles as outlined in Annex H are followed as part of the creation as well as operation of IRTs (Recommendation No.5).

# ATRT2 Recommendation 4 Implementation

Policy/Implementation/Executive Function Distinction

Recommendation fully implemented February 2016

## Project Status (continued)

Following the adoption by the GNSO Council, the recommendations that involve changes to the ICANN Bylaws were submitted to the ICANN Board which directed ICANN Staff to post these for public comment. Following the close of the public comment forum (12 Sept 2015), the ICANN Board adopted the recommendations during its meeting on 28 September (see <https://www.icann.org/resources/board-material/resolutions-2015-09-28-en#2.f>).

In addition to the progress made within the GNSO, the following improvements were implemented:

- Increased participation of Board members in activities of cross-community working groups such as the Cross Community Working Group on Auction Proceeds or the CCWG on Accountability
- Use of Board/GNSO informal collaboration groups to provide guidance on policy development issues, such as the one created for the PDP on the Next Generation Registry Directory Services
- Overhaul of the agenda setting processes at Public Forum under the new Meetings Format where the Public Forum is to be scheduled twice during Meeting A and Meeting C:
  - o The first session is to be held near the beginning of the meeting agenda for SO/AC updates and to listen to topics of interest by the community
  - o A second session later in the meeting agenda is held for community comment and Board response.
- Development of the Board Advice Registry System to track advice from SO/ACs and follow-up correspondence and actions.

## Implementation Notes

Following the adoption of the Policy & Implementation recommendations by the ICANN Board, ICANN staff has updated the ICANN Bylaws and GNSO Operating Procedures accordingly, which operationalizes the Policy & Implementation recommendations. This completes the project.

# ATRT2 Recommendation 5 Implementation

Decision-Making, Transparency and Appeals Processes

30 June 2016

## Implementation 5 Timeline



June 2016  
Operationalized

## Status of Deliverables

	Responsible	Re-plan Date	Original Due Date
Create Pilot Log	Staff	✓	✓
Create report from log	Staff	✓	September 2015
Document process for review of redacted material	Staff	✓	✓
Finalize draft of Disclosure Guidelines into combined document and submit to Board Governance Committee for information and review	Staff	✓	September 2015
Publish Disclosure Guidelines combined document	Staff	✓	October 2015

## Recommendation 5 Implementation Description

Recommendation 5 states: The Board should review redaction standards for Board documents, Document Information Disclosure Policy (DIDP) and any other ICANN documents in order to create a single published redaction policy. Institute a process to regularly evaluate redacted material to determine if redactions are still required and if not, ensure that redactions are removed.



Complete

Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 5 Implementation

Decision-Making, Transparency and Appeals Processes

30 June 2016

**Recent Update:** The process of documenting for review of redacted material has been completed. The singular document that contains reference to ICANN's publication practices, including redaction procedures is now published on ICANN's Accountability page: <https://www.icann.org/resources/accountability> at: <https://www.icann.org/resources/pages/publication-practices-2016-06-30-en>.

## Project Status

A redaction log has been developed and sample reports are being developed so that such reports may be made publicly available to the community on the ICANN website in a way that provides transparency into ICANN's publication and disclosure practices. As the redaction project is underway, ICANN continues to improve its briefing material design, including more intensive consideration at the outset on the need for inclusion of materials that may require redaction.

## Implementation Notes

Given that ICANN has posted Board Briefing Materials since 2010, we anticipate that a regular redaction re-evaluation path will only be for more recent materials on a going-forward basis. A successful re-evaluation process requires more in-depth tracking at the time that redactions are applied, an effort that continues to be refined over time.

# ATRT2 Recommendation 6 Implementation

## GAC Operations and Interactions

Recommendation fully implemented June 2016

### Implementation 6 Timeline



June 2016  
Complete

### Recommendation 6 Implementation Description

ATRT2 Recommendation 6 advises that the Board work jointly with the GAC to consider a number of actions to make GAC work methods, agenda, activities and deliberations more transparent and better understood to the ICANN community. This project is intended to map the progress in the implementation of ATRT2 Recommendation 6.

Some recommendations concern GAC internal matters and have been addressed by GAC working groups. The BGRI Working Group is addressing Recommendations 6.4, 6.5 and 6.7. The Working Group on GAC Working Methods (WGWM) has addressed ATRT2 Recommendations 6.1, 6.2, 6.3 and 6.6. The GAC Joint Working Group on Government Engagement (JWG/GE) has addressed ATRT2 Recommendations 6.8 and 6.9.

### Status of Deliverables

	Responsible	Due Date
6.1 Increased transparency of GAC-related activities	GAC	✓
6.2 Formally adopt open meetings policy	GAC	✓
6.3 Develop and publish rationales for GAC advice	GAC	✓
6.4 Develop and document formal process for GAC advice	BGRI	✓
6.5 Bylaw change, requiring a Board supermajority to reject GAC advice *see New ICANN Bylaws adopted on 27 May 2016	BGRI	N/A*
6.6 Implement initiatives to remove barriers for participation	GAC	✓
6.7 Regularize Senior Officials meetings	BGRI & GAC	✓
6.8 Develop government engagement guidelines	JWG/GE	✓
6.9 Develop goals for stakeholder engagement by GSE	JWG/GE	✓



Complete  
Planned/In Process  
Behind schedule, expected to recover within original plan  
Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 6.1 Implementation

## 6.1 Increased transparency of GAC-related activities

Recommendation fully implemented June 2016

### Implementation 6.1 Timeline



June 2016  
Complete

### 6.1 Sub-project Description

Sub-project 6.1. is focused on increasing the transparency of GAC-related activities and in so doing improving on community visibility into, and understanding of, GAC work methods and processes.

The Working Group on GAC Working Methods (WGWM) has implemented much of this recommendation, which contains eight sub-recommendations that are at varied stages of implementation by the GAC (six of the eight have been implemented).

The GAC Technology Task Force is addressing Recommendation 6.1.c on improving the GAC website, with ICANN and ACIG staff.

### Status of Deliverables

	Responsible	Due Date
a Convening GAC 101 information sessions (Sweden lead)	GAC	✓
b Publishing agendas and minutes for GAC Meetings timely (WGWM lead)	GAC	✓
c Improving GAC website (existing website and new website in planning)	ICANN staff and ACIG	✓
d Considering whether and how to open GAC conference calls	GAC	✓
e Considering how to structure GAC meetings to better engage with community	GAC	✓
f Establishing agenda-setting calls for the next meeting	GAC	✓
g Providing clarity on GAC leadership roles	GAC	✓
h Defining process to give opportunity to present to the GAC prior to deliberations	GAC	✓



Complete  
Planned/In Process  
Behind schedule, expected to recover within original plan  
Behind schedule, original plan to be adjusted



# ATRT2 Recommendation 6.1 Implementation

## 6.1 Increased transparency of GAC-related activities

Recommendation fully implemented June 2016

### Project Status

**6.1a Convening GAC 101 or information sessions for the ICANN community:** This recommendation has been implemented by the GAC through GAC Open Forum sessions at [ICANN 50](#), [IGF 2014](#) and [ICANN 51](#). The GAC has discussed the experiences to date and considered further refinements of the approach. The GAC has agreed on the need for at least one Open Forum per year and for arrangements to align with the new ICANN meeting structure from 2016. 6.1a has thus been implemented by the GAC. The next GAC Open Forum is planned for ICANN 56 in Helsinki.

**6.1b Publishing agendas and minutes for GAC Meetings timely:** Until 2015, GAC agendas with session topics were made available online on the ICANN meeting website about one month before each meeting. In January 2015, the GAC started to publish its agenda for [ICANN 52](#) on the GAC's public website, well in advance of the 7-day time period recommended by ATRT2. Agenda publishing within 7 days of the meeting is thus complete. Additionally, during the meetings, the GAC agenda on the public space is updated with all documents from the sessions. The GAC interprets the recommendation to publish meeting minutes within 7 days of its meetings as aiming to clarify GAC advice as early as possible after it is issued. Official meeting minutes approved by the GAC are now published within 3 weeks of the meeting. The GAC publishes a negotiated, official record of its meetings at their close, in the form of the GAC Communiqués. The GAC is continuously working on improving the clarity of the Communiqués, for example through the inclusion of annexes where relevant. Furthermore, since recordings and full transcripts are made publicly available within 7 days for all sessions, this aspect of the recommendation is implemented in reality. Hence, Recommendation 6.1b has been implemented by the GAC.

**6.1c Improving GAC website:** The existing GAC website at <https://gacweb.icann.org> has been revised to improve access to relevant information, including correspondence, to increase the amount of information available on the public website, to make Working Group information publicly available and to streamline the site's navigation. Audio recordings and transcripts of all GAC meetings (except for communiqué-drafting sessions) have been made available online since ICANN 47 in the six UN languages as well as Portuguese. In parallel, a project to establish a new website began in March 2015, conducted by ICANN ICT staff, ICANN GAC staff and ACIG under the guidance of the GAC Technology Task Force with Tracy Hackshaw, former GAC Vice-Chair, as lead. The new collaborative and user-friendly GAC website is expected to be launched in the second half of 2016 and by July 2016 the interfaces for the website were ready.

**6.1d Considering whether and how to open GAC conference calls:** GAC conference calls have generally been concerned with agenda setting for physical meetings, rather than with decision-making on substance matters of GAC advice. The GAC determined at ICANN 52 that liaisons to GAC from other SO/ACs can be invited to observe and participate as appropriate and the appointed GNSO liaison to the GAC has participated on GAC calls since April 2015. The implementation of this recommendation is thus concluded.

# ATRT2 Recommendation 6.1 Implementation

## 6.1 Increased transparency of GAC-related activities

Recommendation fully implemented June 2016

### Project Status (Continued)

**6.1e Considering how to structure GAC meetings to better engage with community:** This recommendation is implemented by the GAC through a significant increase in the GAC's inter-sessional work, open GAC working group sessions, participation of GAC members in both GAC working groups and PDP and cross-community working groups, initiatives such as the GAC Open Forum (Recommendation 6.1a) and the new ICANN meetings strategy. All face-to-face GAC meeting sessions are open, except for the communiqué drafting sessions. Working groups such as the Public Safety Working Group (PSWG) have been holding open sessions of notable interest to the community.

**6.1f Establishing agenda-setting calls for the next meeting:** This recommendation has been implemented by the GAC. The GAC has a session at the end of each ICANN meeting to prepare for the next meeting, and holds a conference call in the middle of the period between ICANN meetings to set priorities for the next GAC agenda. If need be, a second agenda setting call is organized closer to the next meeting to refine the schedule.

**6.1g Providing clarity on GAC leadership roles:** This recommendation has been implemented with the publishing of a fact sheet about the GAC's Chair and Vice Chairs. The enlargement of the GAC management team has been followed up by a revision of the GAC Operating Principles at ICANN 53, formally stating that the GAC can have up to five Vice Chairs.

**6.1h Defining process to give opportunity to present to the GAC prior to deliberations:** The GAC has been implementing this recommendation. The topics of Geographic Names, Human Rights, Public Safety and International Law are examples of areas for which the GAC is actively reaching out, in particular through its Working Groups, to the rest of the community to gather information and input ahead of decision-making, which can serve as case studies to help define a process for the GAC to give entities the opportunity to present, as well as be regarded as an implementation of Recommendation 6.1h in practice.

### Implementation Notes

None.

# ATRT2 Recommendation 6.2 Implementation

Formally adopt open GAC meetings policy  
Recommendation fully implemented March 2015

## 6.2 Formally adopt open GAC meetings policy



March 2015  
Complete

## Status of Deliverables

	Responsible	Due Date
Adopt open meetings policy, in effect since ICANN 47	GAC	✓

## 6.2 Sub-Project Description

Sub-project 6.2. is focused on increasing the transparency of GAC meetings by ensuring that they are held openly and that non-GAC members can attend.

The Working Group on GAC Working Methods (WGWM) has been in charge of this recommendation, which is implemented in practice and [communicated explicitly](#). As an administrative formality, the GAC plans to update the text in its GAC Operating Principles (OPs) to reflect the policy of open meetings in due course, when it revises the entire OPs.



Complete  
Planned/In Process  
Behind schedule, expected to recover within original plan  
Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 6.2 Implementation

Formally adopt open GAC meetings policy

Recommendation fully implemented March 2015

## Project Status

This recommendation is implemented by the GAC. All GAC meetings since [ICANN 47](#) in 2013 have been **open**, except for the Communiqué drafting sessions, and since ICANN 55 are all GAC plenary sessions completely open. At ICANN 46 in April 2013 and prior to that, most GAC sessions were partly open and partly closed.

The **exception** to open meetings remains the Communiqué drafting session that is only accessible to representatives and advisors of GAC Members and Observers, as well as to GAC support staff and Secretariat. The Communiqué drafting session takes place towards the end of each meeting, on the Wednesday afternoon: it is about a half day of inter-governmental discussions and negotiations on the 'GAC Communiqué'. The Communiqué represents the formal negotiated outcome of the meeting, including the GAC's advice to the ICANN Board and therefore the discussions are open to members only to facilitate frank exchanges. A second exception to open meetings is the GAC agenda-setting conference call that is for logistics and scheduling, not substantive decision-making. Finally, the GAC may in the future need to hold a private meeting if the topic of discussion is a sensitive and purely internal matter (although the need has not arisen since mid 2013).

In terms of formalization, the GAC practice of Open Meetings is explained on the GAC website on the [GAC Meetings page](#) and in Fact Sheets for new GAC members ("[Attending your first GAC meeting](#)").

It should be noted that Principle 50 of the [GAC Operating Principles](#) (last amended in October 2011) still states: "*The meetings of the GAC shall ordinarily be held in private. The Chair may decide that a particular meeting, or part of a particular meeting, should be held in public.*" A proposed amendment to the Operating Principles is part of the ongoing review of the operating principles and would reverse the text to specify that GAC meetings are ordinarily held in public, and that the Chair may decide that a particular meeting should be held in private. This text will be updated in due course, as an administrative formality, when the GAC revises the entire Operating Principles.

## Implementation Notes

None.

# ATRT2 Recommendation 6.3 Implementation

Develop and publish rationales for GAC Advice

Recommendation fully implemented June 2016

## 6.3 Develop and publish rationales for GAC Advice



June 2016  
Complete

## 6.3 Sub-Project Description

Sub-project 6.3. is focused on the GAC developing and publishing rationales for GAC Advice at the time advice is provided; recording such rationales in the GAC register; and including in the register a record of how the ICANN Board responded to each item of advice.

The Working Group on GAC Working Methods has addressed the implementation of this recommendation.

## Status of Deliverables

	Responsible	Due Date
Consider, decide on and implement successive steps to provide rationale for GAC Advice	GAC	✓
Improving the GAC register of advice	ICANN staff and ACIG	✓
Include in the advice register a record of how the ICANN Board responded to each item of advice	ICANN staff and ACIG	✓



Complete

Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 6.3 Implementation

Develop and publish rationales for GAC Advice

Recommendation fully implemented June 2016

**Recent Update:** Recommendation 6.3 has been implemented fully. At ICANN 56 in Helsinki, the GAC included a rationale for each recommendation it made to the ICANN Board.

## Project Status

Recommendation 6.3 was implemented gradually, starting with discussion by the GAC at ICANN 53 in Buenos Aires in June 2015.

**Improving the GAC register of advice:** Improving the GAC Register of Advice to make it more user-friendly and comprehensive of GAC input and Board feedback is part of the review of the existing GAC website that began in February 2015. It is also a major component of a project for a new revamped GAC website. It should be noted, as well, that the ICANN CTO and Board Operations division are developing a register of advice to the Board and that there are likely to be possible significant synergies.

## **Developing and publishing rationales for GAC Advice at the time advice is provided and recording rationales in the GAC register:**

The GAC interpreted this recommendation as aiming to clarify GAC advice. The rationale for GAC Advice has been made clearer through continuous efforts such as ongoing restructuring of the Communiqué format, improving the wording of the Communiqué itself, including attachments where appropriate, holding open meetings by default, and publishing transcripts and minutes. The Helsinki Communiqué of June 2016 for the first time included detailed rationales for the section of the Communiqué containing GAC advice to the ICANN Board.

The GAC notes that other initiatives, such as holding GAC Open Forum sessions and opening GAC sessions to non-members, also help to explain the aims and procedures of GAC advice. The level of detail in the minutes from the GAC meetings has also been enhanced with a view to facilitate a greater understanding among the community. As of ICANN 55 in Marrakech in March 2016, the GAC has held its communiqué drafting session openly for the first time. The GAC considers Recommendation 6.3 to be fully implemented by the above listed actions and practices.

## Implementation Notes

None.

# ATRT2 Recommendation 6.4 Implementation

Develop and document formal process for GAC Advice

Recommendation fully implemented June 2016

## 6.4 Develop and document formal process for GAC Advice



May 2016  
Complete

### 6.4 Sub-Project Description

Sub-project 6.4. is focused on the Board, working through the BGRI Working Group, developing and documenting a formal process for notifying and requesting GAC Advice.

The BGRI Working Group is in charge of implementing this recommendation.

The draft process is considered adopted from the GAC perspective.

## Status of Deliverables

	Responsible	Due Date
Develop draft "Timeline for Board requesting GAC Advice."	BGRI	✓
Adopt or amend 'Timeline for Board requesting GAC Advice' (evaluate current shortcomings / enhance process).	BGRI	✓
Adoption by GAC, post online	BGRI	✓



Complete  
Planned/In Process  
Behind schedule, expected to recover within original plan  
Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 6.4 Implementation

Develop and document formal process for GAC Advice

Recommendation fully implemented June 2016

## Project Status

In its London Communiqué of June 2014, the GAC “agreed to implement this recommendation with the BGRI processing the recommendation by documenting the current process and seeking comment on options for improvements.”

It was noted that Board requests for GAC advice are very rare, with only one such request issued during the last five years and the Board will address ATRT2 I 6.4 in 2016, following a delay due to not wanting to be in conflict with the IRP also involving GAC advice.

At ICANN 50, 51 and 52, the BGRI discussed the draft of a formal process for notifying and requesting GAC advice. The draft process has been circulated twice to the GAC. No comments having been received, and the document is considered approved from a GAC perspective. The process is posted on the GAC website at this [link](#). The BGRI, meeting during ICANN 53, found it advisable to prepare for Board adoption of the process, foreseen to be concluded by August 2015. The process was detailed and documented for Board approval for that date, but by coincidence an IRP case involving GAC advice made it advisable to defer the Board handling of this process to avoid confusion and misunderstanding by the community. No formal Board action is necessary.

## Implementation Notes

None.



# ATRT2 Recommendation 6.5 Implementation

Bylaws change, requiring a supermajority for the Board to reject GAC Advice  
Recommendation modified by events and implemented June 2016

## 6.5 Develop and document formal process for GAC Advice



June 2016  
Complete

## 6.5 Sub-Project Description

Sub-project 6.5. recommends that the BGRI implement a Bylaws change, whereby the Board would need a supermajority vote to reject GAC advice.

The BGRI Working Group is in charge of this recommendation.

## Status of Deliverables

	Responsible	Due Date
Public comment period	Staff	✓
Amend ICANN bylaws, to require a Board supermajority to reject GAC advice. *see New ICANN Bylaws adopted on 27 May 2016	BGRI	N/A*



Complete  
Planned/In Process  
Behind schedule, expected to recover within original plan  
Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 6.5 Implementation

Bylaws change, requiring a supermajority for the Board to reject GAC Advice  
Recommendation modified by events and implemented June 2016

**Recent Update:** The ICANN Bylaws approved by the ICANN Board on 27 May 2016, require a vote of 60% of the Board to reject GAC Consensus Advice, rather than the supermajority identified in this Recommendation. The ICANN Bylaws also require that the Board is only required to give this special consideration to GAC Consensus advice that meets a specific definition for the term “Consensus”. The Bylaws will go into effect upon the expiration of NTIA’s IANA Functions Contract with ICANN.

## Project Status

ATRT1, ATRT2 and BGRI advice led to a proposal to set a bylaws threshold at 2/3 for the Board to reject GAC advice.

At their meeting together at ICANN 51 in October 2014, both the Board and the GAC noted that [public comments on the proposed bylaw change](#) had been almost unanimously negative, although many comments had seemed to be based on a misunderstanding of the purpose, status and timing of the proposal, conflated with accountability issues. Public comments reflected several themes: i) the poor timing of the proposed changes, which should have been considered after the IANA Stewardship Transition process, or as part of the enhancing ICANN accountability work; ii) concern that the threshold for rejecting GAC advice would be different than for other SOs/ACs; iii) concern that changes could remove any incentive for GAC involvement in policy development; iv) Lack of transparency in the selection of GAC members; and, v) changes would create even more problems should GAC advice move from consensus to voting. For these reasons, in October 2014 the Board put the issue on hold, pending broader changes across the ICANN community. The GAC, in its deliberations during ICANN 54 (See GAC Communiqué at <https://www.icann.org/en/system/files/correspondence/gac-to-board-21oct15-en.pdf>), saw a potential connection between this provision and what has been referred to as “Stress Test 18”, embodied by the CCWG-Accountability Working Group in its Recommendation 11, which addressed the situations when the ICANN Board should be required to provide special consideration to advice from the GAC, and the conditions under which that would remain appropriate.

The CCWG-Accountability’s WS1 proposal specified that the Board may only act inconsistently with GAC Consensus Advice by a vote of 60% of the Board. This has been incorporated into the ICANN Bylaws, <https://www.icann.org/en/system/files/files/adopted-bylaws-27may16-en.pdf>. This reflects a compromise – the threshold for Board action is reduced from the proposed 66% to 60%, while only applying this heightened threshold to consideration of GAC Consensus Advice.

## Implementation Notes

The compromise reached through the CCWG-Accountability process has been embedded into ICANN’s Bylaws. With that compromise, this Recommendation is complete.

# ATRT2 Recommendation 6.6 Implementation

Increase support and resource commitments of governments to the GAC  
Recommendation fully implemented December 2015

## 6.6 Increase support and resource commitments of government to the GAC

## Status of Deliverables



December 2015  
Complete

### 6.6 Sub-Project Description

Sub-project 6.6. is focused on increasing support and resource commitments of governments to the GAC and to identify and address barriers for participation, to improve procedures and to develop best practices.

The Working Group on GAC Working Methods (WGWM) has contributed with implementation steps for this recommendation. Several of the points made in ATRT2 Recommendation 6.6 overlap with, and have been addressed by, activities under other sub-projects.

The GAC has implemented this recommendation.

	Responsible	Due Date
<b>Identify</b> initiatives that can remove barriers for participation	<b>GAC</b>	✓
<b>Implement</b> initiatives that can remove barriers for participation	<b>GAC</b>	✓
Improve GAC procedures to ensure more efficient, transparent and inclusive decision-making	<b>GAC</b>	✓
Develop GAC engagement best practices	<b>GAC &amp; BGRI</b>	✓



Complete  
Planned/In Process  
Behind schedule, expected to recover within original plan  
Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 6.6 Implementation

Increase support and resource commitments of governments to the GAC  
Recommendation fully implemented December 2015

## Project Status

**Identify and address barriers to participation in the GAC:** There has already been significant progress in overcoming language barriers to participate in the GAC, with the Communiqué, fact sheets, minutes and transcripts being made available in 7 languages and interpretation available for meetings and conference calls. A more extensive use of background briefing documents has also worked to reduce participation barriers, as has the increase of the number of travel support slots for participants from developing economies. Surveys of the GAC following ICANN 52, 53 and 54 included rating of various initiatives to encourage participation in the GAC <https://gacweb.icann.org/display/gacweb/GAC+Meeting+Surveys> . Providing access to more relevant information was viewed as an effective way to encourage more active participation in the GAC. Providing more outreach was viewed as important, and providing better information on the ICANN model was viewed as being helpful. However, providing more translation and/or interpretation was not widely viewed as helpful. This aspect of 6.6 is linked to recommendation 6.9 and the implementation thereof by JWG/GE and GSE staff.

**Improve GAC procedures to ensure more efficient, transparent and inclusive decision-making:** This generally worded recommendation serves as a principle for continuous improvement efforts, as addressed in 6.1 – 6.3, where a number of proposals and initiatives have been launched to promote inclusiveness and active participation by GAC members and observers in its discussions and to enhance efficiency, effectiveness and the timely provision of decisions and advice. The use of GAC Working Groups to address particular topics has increased, which also serves to fulfil this recommendation.

**The BGRI working group should develop GAC engagement best practices for members:** The GAC considers, with regard to GAC engagement best practices for members, that some issues, such as making “adequate resource commitments” for supporting ICANN-related work, are matters for the judgment of individual governments rather than for standardization. The suggestion for a Code of Conduct led to discussion during the GAC’s Buenos Aires meeting and was mentioned in the Buenos Aires Communiqué, which noted that each member already operates within his/her own government’s code of conduct framework.

The GAC is, however, implementing and investigating ways in which members can be supported to engage most effectively, complementing measures to remove barriers to participation. This includes elements mentioned by ATRT2 such as local stakeholder consultation and coordination on multi-dimensional issues such as Internet governance. For example, the GAC Open Forum session always features presentations of how individual governments prepare for GAC meetings at the national level, including consultations with local stakeholders. These presentations serve as useful models for other GAC members, in addition to informing the wider community.

## Implementation Notes

The Working Group on GAC Working Methods (WGWM) has contributed with implementation steps for this recommendation, noting that the second section of the recommendation, “Consider how the GAC can improve its procedures to ensure more efficient, transparent and inclusive decision-making,” is already covered by previous recommendations (Recommendations 6.1 – 6.3). Implementation of the recommendation is of an ongoing nature and has reached a level justifying closure.

# ATRT2 Recommendation 6.7 Implementation

Regularize Senior Officials meetings  
Recommendation fully implemented March 2015

## 6.7 Regularize Senior Officials meetings



March 2015  
Complete

### 6.7 Sub-Project Description

Sub-project 6.7 is focused on regularizing senior officials' meetings by: asking the GAC to convene a High Level meeting on a regular basis, preferably at least once every two years; inviting countries and territories that do not currently have GAC representatives to these meetings; and taking stock after each High Level meeting.

The GAC has implemented this recommendation.

## Status of Deliverables

	Responsible	Due Date
GAC agreement to convene regular, High Level meetings	GAC	✓
Establishing practice with High Level meetings in Toronto 2012, London 2014 and Marrakech 2016	GAC	✓
Approving and publishing guidelines for GAC High Level Governmental Meetings	GAC	✓



Complete  
Planned/In Process  
Behind schedule, expected to recover within original plan  
Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 6.7 Implementation

Regularize Senior Officials meetings

Recommendation fully implemented March 2015

**Recent Update:** The Kingdom of Morocco, in co-operation with the GAC, held the third, very successful High-Level Governmental Meeting (HLGM) at ICANN55 in March 2016.

## Project Status

**GAC agreement to convene regular, High Level meetings:** In its London ICANN 50 Communiqué, the GAC agreed that “regular high-level meetings are beneficial, and (that it) will examine ways to maximize their benefits and continually improve the way they are arranged and scheduled.”

**Establishing practice of holding HLGMs regularly:** The GAC established the practice of holding High Level meetings by doing so in Toronto in 2012, in London in 2014, and in Marrakech in March 2016.

## Approving and publishing guidelines for GAC High Level Governmental Meetings:

At ICANN 52 in Singapore, the GAC approved a set of guidelines for GAC High Level Governmental Meetings. The guidelines specify that, ideally, a host GAC member would self-nominate and inform the GAC one year in advance. The guidelines articulate expectations on host GAC members before each High Level meeting, during the meeting, and after the meeting. The guidelines are published in the 6 UN languages plus Portuguese on the GAC website at <https://gacweb.icann.org/pages/viewpage.action?pageId=38502480>. The GAC agreed to consider it as a living document to be updated as needed and reviewed regularly as part of a stocktaking process after each HLGM. It was reviewed in April 2016 to take into account the experience with the third HLGM.

The implementation of Recommendation 6.7 by the GAC is thus complete.

## Implementation Notes

Complete.

# ATRT2 Recommendation 6.8 Implementation

Develop government engagement guidelines  
Recommendation fully implemented April 2015

## 6.8 Develop government engagement guidelines



April 2015  
Complete

## Status of Deliverables

	Responsible	Due Date
Enhance monthly GAC/ICANN leadership conference call format	ICANN Staff	✓
Enhance monthly GSE/GE related activities report	ICANN Staff	✓
Develop and publish government engagement guidelines	ICANN Staff	✓

## 6.8 Sub-Project Description

Sub-project 6.8. is focused on developing guidelines for engaging governments, both current and non-GAC members, to ensure coordination and synergy of efforts between the GAC and the ICANN GSE team.



Complete  
Planned/In Process  
Behind schedule, expected to recover within original plan  
Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 6.8 Implementation

Develop government engagement guidelines

Recommendation fully implemented April 2015

## Project Status

The GAC Joint Working Group on Government Engagement (JWG/GE) was formed at ICANN 50. ICANN Staff and JWG/WG members engaged in discussions and proposed several initiatives at ICANN 51 in Los Angeles in October 2014. Actions that were agreed on and have now been implemented are:

- An enhanced format for the GAC/ICANN leadership conference call: these monthly calls now involve more relevant GAC members (notably the GAC Vice Chairs and GAC support staff including the ACIG Secretariat).
- An enhanced monthly GSE/GE related activities report – the new format has been implemented and is distributed to the full membership each month. Monthly reports are published on the GAC website at <https://gacweb.icann.org/x/r4FLAg>
- Finally, the GAC and GSE/GE team have finalized approved Guidelines for coordination between the GAC and ICANN's Global Stakeholder Engagement/Government Engagement Teams at <https://gacweb.icann.org/x/r4FLAg> and in so doing completed the implementation of recommendation 6.8.

## Implementation Notes

The guidelines have been completed, accepted and are now being implemented through staff work nationally, regionally and with IGO activities. The guidelines are a working document that can be amended as communities request additional communication or methods of working together.



# ATRT2 Recommendation 6.9 Implementation

Develop goals for stakeholder engagement

Recommendation fully implemented December 2015

## 6.9 Develop goals for stakeholder engagement



December 2015  
Complete

## Status of Deliverables

	Responsible	Due Date
a. Develop goals for engagement with GAC and non-GAC member countries including database of relevant Ministers	Staff	✓
b. Utilize tools to better track ICANN response to GAC advice	Staff	✓
c. Make ICANN's work relevant for stakeholders in parts of the world with limited participation	Staff	✓
d. Develop and execute for each world region a plan to allow local enterprises and entrepreneurs to fully and on equal terms use of ICANN's services including new gTLDs (all regional plans by July 2016 but implementation work on going)	Staff	✓

## 6.9 Sub-Project Description

Sub-project 6.9. is focused on developing, with community input, a baseline and set of measurable goals for stakeholder engagement. Once the baseline is established and these goals are set implementation will be ongoing. At the Buenos Aires meeting the GAC agreed that no database was necessary as it would be too expensive and labor intensive to maintain due to the normal frequent changes in the governments of the world regarding portfolio or office holder.

Other work under Recommendation 6.9 fits into the overall Recommendation 6 ongoing system enhancements and improvements.



Complete

Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 6.9 Implementation

Develop baseline and set of measurable goals for stakeholder engagement

Recommendation fully implemented December 2015

## Project Status

Per Recommendation 6.9, the Board should instruct the GSE group to develop, with community input, a baseline and set of measurable goals for stakeholder engagement that addresses the following:

- a. Relationships with GAC and non-GAC member countries, including the development of a database of contact information for relevant government Ministers:** The relationships with GAC and non-GAC member countries have been strengthened through staff interactions in regions. The engagement work occurs within regions in capitals, with regional intergovernmental groups and in Geneva and New York through engagement with the relevant IGOs and IOs. GAC discussions in ICANN 53 have clarified that the objective with having a database of contact information for relevant government ministers has been achieved through other means and should not be pursued. Recommendation 6.9a is thus completed.
- b. Tools to summarize and communicate in a more structured manner government involvement in ICANN, via the GAC, as a way to increase the transparency on how ICANN reacts to GAC Advice (e.g. by using information in the GAC Advice Register):** in development: currently, regular webinars and briefings are held; as well as distribution of educational materials; hosting of DNS regional forums, one to one meetings, regional commissions and ministerial meetings, etc. This is also closely related to ongoing implementation activities for other recommendations regarding website improvements. The improvements of the current website are completed. In addition, a new website is expected to be launched in the second half of 2016. For further detail see Recommendation 6.1c.
- c. Making ICANN's work relevant for stakeholders in those parts of the world with limited participation:** In practice, GSE/GE implementation in the regions is according to community priorities as expressed in the community driven regional engagement planning and prioritization (regional strategies) and at GE team in Geneva in accordance with stakeholders preferences and global work. The webinars, visits, trainings and other related activities are implemented and this has translated into GAC membership rise to 155 MS and 34 IGOs as of December 2015. Completed.
- d. Develop and execute for each region of the world a plan to ensure that local enterprises and entrepreneurs fully and on equal terms can make use of ICANN's services including new gTLDs:** ongoing –four regions have strategies that have been developed by the multistakeholder regional communities, including participation from Governments in those regions, whether ICANN GAC members or not. One DNS entrepreneurship center has been started and is working in Egypt, serving the Middle East and Africa region. Other regions are looking at it and the prospects of replication look good in developing regions. Completed.

# ATRT2 Recommendation 6.9 Implementation

Develop baseline and set of measurable goals for stakeholder engagement

Recommendation fully implemented December 2015

## Implementation Notes

Implementation of the tools under Recommendation 6.9 is completed. The engagement work is ongoing and expressed in the regional engagement strategies and the work of the regional communities. Regional DNS forums have been launched; all regions have regular webinars that include government participation or are specific to Governments; in Geneva and NY regular briefings and technical presentations educate the diplomatic staff from the missions about the relevance of the DNS to their country's economy and to gain a better understanding of how the Internet works and therefore why what ICANN does is relevant and worth their participation. Communication has been followed up with a push strategy to get additional materials to those entities that request briefings. The GAC Communique and information on membership (including how to contact the GACSEC) are distributed and GAC membership and participation in ICANN are encouraged. The regional engagement plans can be found here: <https://community.icann.org/pages/viewpage.action?pageId=35521555>. GSE and GE have planned the FY16 work to identify and prioritize those activities for the coming year. Part of that planning process is the further development of the community wiki space to encompass the metrics, forums and the regional projects.

# ATRT2 Recommendation 7 Implementation

## Public Comment Improvements

31 December 2015

### Implementation 7 Timeline



December 2015  
Completed

### Recommendation 7 Implementation Description

ATRT2 Recommendation 7 identified various mechanisms to improve public comment periods through process modifications and the use of new tools. The Board specifically instructed staff to create and implement a process to enable those who comment during public comment periods to request changes to staff synthesis reports in cases where commenters believe the staff incorrectly summarized their comments.

The Recommendation 7 improvements have now been fully implemented, operationalized and assessed. Staff is establishing a multi-department team to investigate further evolution of the organization's community input capabilities and processes with an eye toward interfacing with future community review efforts (e.g., ATRT3) as needed in the future.

### Status of Deliverables

	Responsible	Due Date
Centralized public comment page live on icann.org	Staff	✓
Enhanced visual timeline for public comment live on icann.org	Staff	✓
Ability to "follow" public comments on icann.org	Staff	✓
Eliminate Reply Cycle/Expand Comment period	Staff	✓
Create Staff Summary Report Inquiry Process	Staff	✓
Snapshot of public comment data 6 months after implementation	Staff	✓
Publish Report for Community	Staff	✓



Complete

Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 7 Implementation

## Public Comment Improvements

31 December 2015

### Project Status

This project had both short term and long term components. ICANN staff mapped out specific tasks, milestones, deliverables and dependencies to implement all aspects of the ATRT2 Rec 7 recommendations. The Rec 7 recommendations have been fully implemented as the following short term improvements have been realized:

- Centralized public comment page live on icann.org (see <https://www.icann.org/public-comments - open-public>)
- Elimination of Reply comments mechanism and expansion of public comment period to 40-day default time frame (see announcement <https://www.icann.org/resources/newsletter/policy-update-2014-11-21-en>)
- Enhanced visual timeline for public comment live on icann.org (see e.g., <https://www.icann.org/public-comments/rpm-review-2015-02-02-en>)
- Ability to “follow” public comments on icann.org
- Stricter staff expectations and processes to produce summary reports in a timely manner (default two weeks)
- Creation of process and mechanism for community to confer, challenge, correct, complain about staff summary reports. (see <https://www.icann.org/resources/pages/report-inquiry-2014-10-21-en>)
- Improvements Information shared with Community and Staff (see <https://community.icann.org/pages/viewpage.action?pagelD=51417227>) and (see <https://community.icann.org/pages/viewpage.action?pagelD=51418375>)
- Report on ATRT Rec 7 Enhancements (see <https://community.icann.org/pages/viewpage.action?pagelD=56987496>)

### Implementation Notes

This project is now complete, but the evolution of how the ICANN organization requests, receives, processes and evaluates public input is ongoing. The 16-page staff assessment report published regarding the Rec 7 enhancements provides a summary of the six specific operational and process improvements implemented by the staff and confirms the value of those changes. While no specific key performance indicators have been established for the public comments infrastructure, staff will continue to monitor and measure fundamental aspects of the public comments environment on an annual basis - including the number of public comment proceedings, the number of comments filed and other relevant statistics. Staff is establishing a multi-department team to investigate further evolution of the organization’s community input capabilities and processes with an eye toward interfacing with future community review efforts (e.g., ATRT3) as needed in the future.

# ATRT2 Recommendation 8 Implementation

Multilingualism

30 June 2016

## Implementation 8 Timeline



Complete

## Recommendation 8 Project Description

The recommendation states: To support public participation, the Board should review the capacity of the language services department versus the community need for the service using Key Performance Indicators (KPIs) and make relevant adjustments such as improving translation quality and timeliness and interpretation quality. ICANN should implement continuous improvement of translation and interpretation services including benchmarking of procedures used by international organizations such as the United Nations.

## Status of Deliverables

	Responsible	Re-plan Date	Original Due Date
Create a Languages Services Department	Staff	✓	✓
Conduct focus groups with community for feedback on improving the Glossary and Terminology Database	Staff/ Community	✓	✓
Create a summary report detailing what content types will be translated on icann.org – to be updated in Q2FY17	Staff	*	June 2015
Set a process for translation/localization of icann.org	Staff	*	June 2015
Build an internal language portal	Staff	✓	✓
Update ICANN Languages Services Policies and Procedures – Will be updated in Q2FY17	Staff	*	June 2015
Develop standard tracking and reporting mechanisms	Staff	✓	✓

\* Dependency on cross-functional project underway



Complete

Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 8 Implementation

## Multilingualism

30 June 2016

**Recent Update:** In an effort to better understand the needs of the Community around Language Services and make truly data driven decisions, the LS team embarked on a fact finding mission regarding the availability and use of currently translated materials. The ability to track this data, within the current systems available, is limited. However, there is currently a large cross-functional program, referred to as Jam Tart, currently underway that will make this task possible in the future. In addition to gathering analytics and data of this kind from ICANN.org; the project, once complete, will allow for the publication of translated materials on ICANN.org in a much more direct and systematic way, and provide a translated user experience on the website. In order to follow-through with the remaining recommendations: “Set a process for translation/localization of icann.org,” “Create a summary report detailing what content types will be translated on icann.org,” and “Update ICANN Languages Services Policies and Procedures,” Language Services will continue to actively participate in the cross-functional Jam Tart program team and remain involved on all current work streams that serve these areas, including but not limited to; improvements to the ICANN website, an audit of ICANN’s digital content, and revisions of current content.

### Project Status

We have been actively working to allow for inclusive public participation and removing language barriers to expand the outreach for the community. Accomplishments to date include:

1. The creation of the Language Services Department including hiring one language expert for each of the languages supported by ICANN (Arabic, Russian, Chinese, French, Spanish) and a Localization Program Manager.
2. Glossary and Terminology data base – over 25K terms, all translated into the 6 UN Languages + PT – along with an interactive application for the community, [Quizlet](#). This project was called “ICANN In Your Language” and other languages are being added to support the regional offices and broaden the outreach towards non-English speakers (Korean, Japanese, Turkish). This was the subject of the first Focus Group.
3. The LS Department has signed MoUs, the first one with Korea Internet and Security Agency (KISA), later with Japan Network Information Center (JPNIC) and Japan Registry Services Co., Ltd. (JPRS) and very recently with Thailand’s Electronic Transactions Development Agency (ETDA). Under these agreements, ICANN and the parties mentioned above will coordinate and collaborate to identify and translate ICANN materials into Korean, Japanese and Thai for the local community.
4. On June 2014 the second Focus Group was conducted where we discussed methods of translation for all material including the approach to localize icann.org. The focus group consisted of a diverse set of 27 participants from both ICANN staff and community, representing over 15 languages, and nearly 20 countries. Five virtual meetings were held to discuss current website translation approaches at ICANN, and to produce a set of recommendations.
5. ICANN Community Wiki (<https://community.icann.org/category/ls>) was launched in June 2015. This new space includes material to aid community in understanding what the Language Services Department is responsible for and working on. It also includes a full library of translated outreach material with access to download translated documents (Beginner’s Guides, Brochures, Info-Graphics, Fact-Sheets, etc.)
6. On June 2015, the Language Services department took over the Localization Toolkit project from ICANN APAC Region. Original Localization Toolkit was between ICANN APAC Region and Korean Internet & Security Agency (KISA). It provides for a set of tools and materials for translating ICANN Outreach Materials outside normal ICANN Languages. Regions translate materials with attribution with support from ICANN LS team, including language glossary, collection and dissemination of materials and best-practices.

# ATRT2 Recommendation 8 Implementation

## Multilingualism

30 June 2016

### Project Status (continued)

7. A translation projects master is updated and shared every first Monday of the month via ICANN's Community wiki (<https://community.icann.org/display/ICANNLS/Translation+Master+File>) to provide transparency into the work and output of the translations team as well as a source to quickly view what has or is in the process of being translated.
8. Language Services Key Performance Indicators (KPIs) are in the process of implementation as part of ICANN's Dashboard project. This information is targeted for publication in December 2015 and will be linked to this update in the future. Nevertheless, while ICANN is working toward an improved understanding of community's usage of language services resources based on data, various dashboards are already available providing initial measures and trends. Please visit <https://www.icann.org/progress> for 1.1: Further globalize and regionalize ICANN functions. The dashboards include Number of Sessions with Live Interpretation at ICANN Meetings and Percent Compliance with Proactive Translation Policy.

### Implementation Notes

- Crowdsourcing with ICANN community select content. Regional Toolkit already in plan. Support current framework for Toolkit. Other content needs a framework, processes and tools to support. This was also included on the LS Community Wiki: <https://community.icann.org/display/ICANNLSLT/LOCALIZATION+TOOLKIT>
- Benchmark Proposal - a first assessment to begin the Language Services Benchmark exercise was completed. Original targeted participants included two organizations within the United Nations system, and one commercial enterprise organization. Interest from initial inquiries was low from commercial enterprise and or non-existent from the organizations within the United Nations system. The Benchmark proposal is currently re-assessing timing that may work for current targeted participants as well as new potential participants. No firm timeframe is available at this time and work will continue based on interest from potential participants.
- KPIs – as part of the organization-wide effort to measure performance, Language Services is engaged in developing means of measuring its performance over time, against defined standards or targets. This work is still evolving.

### Additional Notes

**Delivery dates on the remaining issues are currently TBD while the requisite projects are in the planning phases. But these issues are all considered in the planning phases, or in the various launch plans of various interdependent projects or programs.**

1. Create a summary report detailing what content types will be translated on icann.org

2. Set a process for translation/localization of icann.org

This milestone has changed from the original dates due to the fact that the task is wholly dependent upon work being done under the Jam Tart program. The work includes a complete Content Strategy plan, and new Document Management System (DMS), as well as a Web Content Management System (WCMS) infrastructure underlying the future ICANN.org. The LS team is working as an active participant and project team member with ICANN's Communications Team, Web Ops, & Digital Services Team in order to obtain accurate results. Completion of the LS recommendations has a critical dependency on the completion of that work. LS is leading the translations work with Communications, Web Ops, and the Digital Services Team to defining the scope of the broader changes necessary to implement and incorporate full Language enablement across ICANN.org and the GAC "beta" website.

3. Update ICANN Languages Services Policies and Procedures

This milestone changed because the scope of work on the delivery of the above two projects changed. These two projects will now inform the documents that will be included in the policies and procedures. Once drafted, we will need to include a PCP in the process, thus the final document publication needs to be rescheduled for a later time more in line with the overall broad changes currently being made.



# ATRT2 Recommendation 9 Implementation

## Decision-Making, Transparency and Appeals Processes

25 October 2018

### Implementation Timeline



Recommendation Operationalized

### Status of Deliverables

	Responsible	Re-plan Date	Original Due Date
9.1 Bylaws Amendment Regarding Advisory Committee Advice	ICANN Organization	✓	October 2015
9.2 Review Accountability Mechanisms	Community (CCWG)	Not applicable (n/a)	March 2016
9.3 Review Ombudsman Role	ICANN Organization	✓	March 2016
9.4 Develop Transparency Metrics and Reporting	ICANN Organization	✓	December 2015
9.5 Review Anonymous Hotline	ICANN Organization	✓	November 2015

### Recommendation 9 Implementation Description

Recommendation 9 includes recommendations of commitments of how ICANN will consider Advisory Committee advice, a requirement that ICANN initiates another review of its Accountability Mechanisms, that ICANN convene a review of the role of the Office of the Ombudsman, as well as commissioning a review of the Anonymous Hotline to assure that it meets with best practices. The Recommendation also specifies areas that ICANN should regularly report on regarding transparency.



Complete  
 Planned/In Process  
 Behind schedule, expected to recover within original plan  
 Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 9.1 Implementation

## Bylaws Amendment Regarding Advisory Committee Advice

Recommendation fully implemented as of 30 June 2016

### 9.1 Implementation Timeline



July 2016  
No longer applicable

### Status of Deliverables

### 9.1 Subproject Description

The 9.1 subproject implementation focus is on the proposed Bylaws change recommended by the ATRT2 to impose a requirement on the ICANN Board to acknowledge advice arising from any of ICANN's Advisory Committees.

	Responsible	Re-plan Date	Original Due Date
Community consultation to develop Bylaws amendments, including issues of workflow and definitions	ICANN Organization	No Longer Applicable	June 2015
Bylaws amendments provided to Board to approve public comment posting	ICANN Organization	✓	July 2015
Open public comment on Bylaws amendments	ICANN Organization	✓	August 2015
Board approval of Bylaws amendments	Board	✓	October 2015



Complete  
Planned/In Process  
Behind schedule, expected to recover within original plan  
Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 9.1 Implementation

## Bylaws Amendment Regarding Advisory Committee Advice

Recommendation fully implemented as of 30 June 2016

**Recent Update:** The ICANN Bylaws approved by the ICANN Board on 27 May 2016 include this requirement.

### Project Status

The proposed Bylaws text has been incorporated into the Draft New ICANN Bylaws that were approved by the Board on 27 May 2016 (<https://www.icann.org/en/system/files/files/adopted-bylaws-27may16-en.pdf>).

The Cross Community Working Group on Enhancing ICANN Accountability identified the language recommended for inclusion in the Bylaws through this Recommendation 9.1 as language that should be adopted as part of the Bylaws necessary to be in place for the transition of the stewardship of the IANA functions. The CCWG-Accountability proposal was provided to Chartering Organizations for consideration on 23 February 2016. <https://community.icann.org/x/8w2AAw>, and the Board submitted the proposal to NTIA on 10 March 2016.

### Implementation Notes

This Recommendation is now complete, through the embedding of the language in the approved Bylaws. The Bylaws will go into effect upon the expiration of NTIA's IANA Functions Contract with ICANN.

# ATRT2 Recommendation 9.2 Implementation

## Review Accountability Mechanisms

Recommendation fully implemented as of 31 March 2016

### 9.2 Implementation Timeline



March 2016  
Operationalized

### Status of Deliverables

	Responsible	Due Date
Confirm that CCWG-Accountability is reviewing the Independent Review and Reconsideration Processes as part of their work.	Community (CCWG)	✓
Continue regular monitoring of CCWG-Accountability work to confirm that 9.2 is still addressed within their work	ICANN Organization	✓
Assess outcomes of CCWG-Accountability work to confirm if further work is needed to meet 9.2	ICANN Organization/ Community	✓

### 9.2 Subproject Description

The 9.2 subproject implementation focus is to review ICANN's existing accountability mechanisms through a community-comprised group.



Complete  
Planned/In Process  
Behind schedule, expected to recover within original plan  
Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 9.2 Implementation

## Review Accountability Mechanisms

Recommendation fully implemented as of 31 March 2016

**Recent Update:** This recommendation was fully implemented as of 31 March 2016.

### Project Status

The Cross Community Working Group (CCWG) Accountability work is addressing reviews of the Independent Review and Reconsideration Processes. Prior to moving forward with the composition of a separate community group, it is important to allow the CCWG work to move forward. If it is determined – through consultation with the CCWG – that the work called for in Rec. 9.2 is not being fulfilled by the CCWG, then ICANN will need to move forward with a separate implementation plan. ICANN will maintain regular dialogue with the CCWG to confirm that work is progressing toward this recommendation.

### Implementation Notes

This work will be closely coordinated with the CCWG work. The CCWG work can be followed at <https://community.icann.org/display/acctcrosscomm/CCWG+on+Enhancing+ICANN+Accountability>

# ATRT2 Recommendation 9.3 Implementation

## Review Ombudsman Role

Recommendation fully implemented as of 30 June 2016

### 9.3 Implementation Timeline



June 2016  
Removed from Workplan

### Status of Deliverables

	Responsible	Re-plan Date	Original Due Date
Identify expert to review current Office of Ombudsman structure and consider modification of role	ICANN Organization	Removed from Workplan*	October 2015
Expert review completed, and results socialized with the Board and Community	ICANN Organization	Removed from Workplan*	October 2015
Bylaw changes (if needed) posted for public comment	ICANN Organization (dependent on Board approval)	Removed from Workplan*	January 2015
If extensive modifications identified, allow for further community discussions at an ICANN public meeting after sufficient time to consider recommendations.	Community	Removed from Workplan*	March 2016
Board Approval of Bylaws changes	ICANN Organization	Removed from Workplan*	June 2016

\*See Implementation Notes



Complete  
Planned/In Process  
Behind schedule, expected to recover within original plan  
Behind schedule, original plan to be adjusted

### 9.3 Subproject Description

The 9.3 subproject is for the implementation of a review of the Office of the Ombudsman, the role within ICANN, and whether the duties/scope of the Ombudsman should be expanded or changed in line with suggestions from the ATRT2.

# ATRT2 Recommendation 9.3 Implementation

## Review Ombudsman Role

Recommendation fully implemented as of 30 June 2016

**Recent Update:** Removed from workplan to avoid duplication with the CCWG-Accountability's Work Stream 2 effort on the Ombudsman.

### Project Status

An expert was expected to be retained and to perform a review of the Office of the Ombudsman by June 2015, with work expected to be completed by October 2015. Because of the unique nature of the Ombudsman role within ICANN, there were challenges in identifying a proper independent expert to undertake this review.

As ICANN was conducting a search for this review, work continued in the Cross Community Working Group on Enhancing ICANN Accountability on modifying the role of the Ombudsman. In addition to the changes to the Ombudsman role that are already reflected in the new ICANN Bylaws (particularly within the Reconsideration Process, where the Ombudsman has a new role), the CCWG-Accountability also noted that it will do a broader review of the Ombudsman role in its Work Stream 2 efforts that are under development now and anticipated to conclude mid-year in 2017. The CCWG-Accountability's Work Stream 2 efforts on the Ombudsman can be followed at <https://community.icann.org/display/WEIA/Ombudsman>. ICANN committed to this work in the Bylaws as approved by the Board on 27 May 2016 (<https://www.icann.org/en/system/files/files/adopted-bylaws-27may16-en.pdf>).

To avoid a duplication of effort, the review of the Ombudsman role was removed from the ATRT2 implementation workplan, and ICANN will support the community's Work Stream 2 efforts to align with the spirit of this ATRT2 recommendation.

### Implementation Notes

The review of the Ombudsman role is removed from the ATRT2 workplan in favor of the broader community effort underway within the CCWG-Accountability. Work related to the Ombudsman initiative can be found on the wiki: <https://community.icann.org/display/WEIA/Ombudsman>.

# ATRT2 Recommendation 9.4 Implementation

## Develop Transparency Metrics and Reporting

Recommendation fully implemented as of 25 October 2018

### 9.4 Implementation Timeline



October 2018  
Operationalized

### Status of Deliverables

	Responsible	Due Date
Publish initial transparency statistics in FY14 Annual Report	ICANN Organization	✓
Develop more fulsome set of statistics for FY15 and operationalize full set of statistics for annual reporting	ICANN Organization	✓

### 9.4 Subproject Description

The 9.4 subproject implementation focuses on developing a full set of statistical data that will be published annually with each Fiscal Year Annual Report.



Complete  
Planned/In Process  
Behind schedule, expected to recover within original plan  
Behind schedule, original plan to be adjusted



# ATRT2 Recommendation 9.4 Implementation

## Develop Transparency Metrics and Reporting

Recommendation fully implemented as of 25 October 2018

**Recent Update:** This recommendation was fully implemented as of 25 October 2018.

### Project Status

Recognizing that transparency is a broad and evolving subject, it features as a continued topic of discussions and work amongst the Board, community, and org.

The full component of statistics recommended for tracking within the recommendation and set of transparency efforts was published by ICANN org in its 2018 Annual Report, available at <https://www.icann.org/en/system/files/files/annual-report-2018-en.pdf>.

ICANN org provides updated transparency metrics in Section 5.2 of the Accountability Indicators Dashboard. These describe and track the key areas of transparency work in ICANN's operations. Transparency metrics include:

- Requests of the Documentary Information Disclosure Policy (DIDP) process and the disposition of requests.
- Percentage of redacted-to-unredacted Board briefing materials released to the general public.
- Number and nature of issues that the Board determined should be treated confidentially.
- Other ICANN usage of redaction and other methods to not disclose information to the community and statistics on reasons given for usage of such methods.
- Employee "Anonymous Hotline" and/or other whistleblowing activity, including: i. reports submitted; ii. reports verified as containing issues requiring action; and iii. reports that resulted in change to ICANN practices.
- Continued relevance and usefulness of existing transparency metrics, including considerations on whether activities are being geared toward the metrics (i.e. "teaching to the test") without contributing toward the goal of genuine transparency.

There are also other reports already in existence that help meet the recommendation, such as the annual report on the usage of ICANN's accountability mechanisms that is published every year on the Board Governance Committee page following ICANN's Annual General Meeting. [https://www.icann.org/resources/pages/annual-reports-2012-02-25-en?routing\\_type=path#reconsideration-requests](https://www.icann.org/resources/pages/annual-reports-2012-02-25-en?routing_type=path#reconsideration-requests).

### Implementation Notes

In response to Recommendation 9.4, ICANN published an Annual [Transparency Report](#) in October 2018. The objective of this report is to bring additional clarity and understanding of how ICANN fulfills its transparency commitments. The report provides an overview of ICANN's existing transparency activities, share new initiatives planned for the upcoming year, and provide measurable data of ICANN's progress toward greater transparency.

# ATRT2 Recommendation 9.5 Implementation

## Review Anonymous Hotline

Recommendation fully implemented as of 30 September 2016

### 9.5 Implementation Timeline



October 2016  
Operationalized

### Status of Deliverables

	Responsible	Re-plan Date	Original Due Date
Identify expert to review existing policy and processes	ICANN Organization	✓	✓
Expert report completed	ICANN Organization	✓	✓
Complete implementation of modifications to policy	ICANN Organization	✓	December 2015
Publish report to community	ICANN Organization	✓	December 2015

### 9.5 Subproject Description

The 9.5 subproject implementation will conduct a review of the Anonymous Hotline policy and processes, implement any proposed modifications to policy and publish a report on results to the community.



Complete  
Planned/In Process  
Behind schedule, expected to recover within original plan  
Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 9.5 Implementation

## Review Anonymous Hotline

Recommendation fully implemented as of 30 September 2016

**Recent Update:** An expert conducted and completed a review of the Anonymous Hotline Policy and Procedures in January 2016. The expert analyzed the Anonymous Hotline Policy and Procedures to accepted global framework, identified gaps and provided recommendations for possible improvements that would elevate the Anonymous Hotline to a best practice reporting mechanism.

ICANN published the results of the review at <https://www.icann.org/en/system/files/files/icann-hotline-policy-review-21mar16-en.pdf>.

ICANN also commissioned a report reviewing the feasibility of expanding the use of the hotline more broadly to the ICANN community. That report is available at <https://www.icann.org/en/system/files/files/icann-hotline-policy-review-21mar16-en.pdf>.

### Project Status

As at September 2016, ICANN has identified the specific implementation steps to address the recommendations furnished by the expert in its report. ICANN has completed the 1<sup>st</sup> tranche of the modifications in the updated the Anonymous Hotline Policy and Procedures, and we are in the final stages of further updating and modifying the Anonymous Hotline Policy and Procedures.

Some of the modifications that have been implemented include:

- The Anonymous Hotline Policy has been revised to allow reporting of all issues and concerns associated with misconduct related to laws, organizational policies and standards of conduct.
- The Anonymous Hotline Policy has been updated to include a description of good faith reporting and to define “non-retaliation” policy in more detail.
- A method has been adopted to ensure that the policy and procedures are both readily available to ICANN Organization to ensure that those who use the Anonymous Hotline have the benefit of the information in both documents.
- The Anonymous Hotline Policy has been updated to reflect that a reporter will receive an acknowledgement of receipt of report from the hotline service provider within 24-48 hours of making a report.

### Implementation Notes

None.

# ATRT2 Recommendation 10 Implementation

## Cross Community Deliberations

17 November 2016

### Implementation 10 Timeline



November 2016  
Operationalized

### Recommendation 10 Implementation Description

This project captures a number of initiatives that are addressing the components of Recommendation 10 in relation to improving the effectiveness of cross community deliberations such as the [GNSO PDP improvements](#), [GAC-GNSO Consultation Group on Early Engagement of the GAC in Policy Development Processes](#) and [the Community Regional Outreach Pilot Program \(CROPP\)](#).

In the meantime a couple of other activities have been initiated that may not have been directly in response to the ATRT2 Recommendation 10 but which are expected to contribute to achieving the goals set out by the Recommendation 10 such as the stakeholder journey, which focuses on how can ICANN get more volunteers to be more meaningfully involved, the Leadership Training Program and the ICANN community mentorship pilot program. Furthermore the GNSO Review Final Report of the Independent Examiner, of which most recommendations have now been adopted by the ICANN Board also identifies a number of recommendations that focus on similar areas as the ATRT2 Recommendation 10. Implementation planning for these recommendations is under way.

### Status of Deliverables

	Responsible	Due Date
Appointment of GNSO Liaison to the GAC	<b>Council</b>	✓
Identify and document additional recommendations for GAC Early Engagement in GNSO PDP	<b>GAC/GNSO Consultation Group</b>	✓
Implementation of CROPP	<b>Staff</b>	✓
Document milestones and goals for the GNSO PDP Improvements	<b>GNSO/Staff</b>	✓
Implementation of facilitated PDP F2F WG meetings pilot project	<b>GNSO/Staff</b>	✓

\* The Consultation Group (CG) submitted its Final Status Update and Recommendations to the GAC and GNSO on 11 October 2016. The GAC and GNSO endorsed the recommendations for adoption during ICANN57. The work of the GAC GNSO CG is now considered complete.



Complete

Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 10 Implementation

## Cross Community Deliberations

17 November 2016

**Recent Update:** PDP Improvements completed, minor progress updates in relation to CG and CROPP.

### Project Status

Work on the projects related to this recommendation has now completed. Although work under way in relation to the GAC-GNSO Consultation Group (CG) faced some delay due to workload issues, the CG submitted its Final Status Report & Recommendations (see <https://gns0.icann.org/en/drafts/gac-status-report-rec-10oct16-en.pdf>) to the GNSO and GAC prior to ICANN 57 for their consideration. Following an exchange of views during the joint GAC-GNSO session at ICANN57, both the GAC and GNSO endorsed the Final Status Report & Recommendations during their respective sessions at ICANN57. The work of the GAC-GNSO CG is now considered complete.

Furthermore, the GNSO Council considered the PDP Improvements End Report (see <http://gns0.icann.org/en/drafts/memo-pdp-improvements-09jun16-en.pdf>) and voted to formally consider this project closed (see <http://gns0.icann.org/en/council/resolutions#201606>), directing staff to integrate some of the improvements that have been piloted as permanent feature as well as survey the GNSO community in relation to the familiarity as well as perceived usefulness of the current newcomer and training tools and materials. This survey was recently completed with the results of the survey as well as a number of recommendations responding to the results of the survey submitted to the GNSO Council for its consideration (see <https://gns0.icann.org/en/drafts/newcomer-tools-survey-04oct16-en.pdf>). The GNSO Council reviewed the survey and its recommendations during its meetings at ICANN57.

CROPP FY16 provided a framework in which each of the At-Large RALOs and GNSO Non-Contract Constituencies were allocated 5 regional (3-day) outreach trips. The specific processes and guidelines for how these resources were made available were set forth on the [CROPP FY16 Program Elements page](#). For FY16, eligibility for the CROPP program depended on the ability of each participating ICANN structure (i.e., RALO, GNSO Constituency) to create a brief, but clear, **Outreach Strategic Plan** explaining its FY16 outreach goals and planned expectations so that any selected CROPP activities could be coordinated with the appropriate ICANN Regional Engagement teams. GNSO Constituencies had the additional option, on a pilot basis, to select either (a) the five standard CROPP travel authorizations or (b) to host, co-host, or sponsor a targeted community Outreach/Engagement Event at one point during the fiscal year (US \$10,000 target support limit). One community selected and utilized the “event” option.

The CROPP program was closely administrated and monitored by staff throughout FY16 to assess the effectiveness of its improved processes and to determine if future allocation of resources (in FY17) would be appropriate. The feedback was positive and further support is being offered to eligible GNSO and RALO communities in FY17 with minor adjustments designed to improve the program offerings. A full assessment report for the FY16 operational year will be produced by staff and posted on the community wiki.

On a trial basis for FY17, eligible GNSO community groups will be offered expanded options to use CROPP resources to organize targeted events to promote or expand recruiting opportunities for their communities. The individual trip framework is also being expanded to give program participants longer stays so that they can more fully utilize their time on the ground for outreach, engagement and recruiting efforts.

# ATRT2 Recommendation 10 Implementation

## Cross Community Deliberations

17 November 2016

### **Project Status (continued)**

Additional initiatives have been launched by ICANN Staff in close co-operation with the ICANN Community such as the Stakeholder Journey and the Community Mentorship Pilot Program which, although not specifically launched in response to the ATRT2 recommendations, are expected to contribute to the objectives of Recommendation 10.

### **Implementation Notes**

The implementation of this recommendation requires substantial involvement from stakeholders, and volunteer fatigue and prioritization efforts must be considered. Furthermore, several of these initiatives are implemented as pilots. The pilot results will be evaluated relative to project goals and adjustments or alternatives will be considered, as needed. Finally, the importance of diverse and global participation in the policy development process is also reflected in more detail in the [Final Report](#) of the independent examiner of the GNSO Review, including many of the 36 recommendations. The importance of implementing ways to track and measure various improvements has been highlighted by the independent examiner and once implemented, this will assist with ongoing monitoring of effectiveness of implemented improvements. GNSO Community has evaluated the feasibility of these recommendations and proposed prioritization. The Board took action on these recommendations at ICANN56 and directed the GNSO to develop an implementation plan for 34 out of 36 recommendations, containing a realistic timeline for the implementation, definition of desired outcomes and a way to measure current state as well as progress toward the desired outcome. The GNSO Review Recommendations Implementation Plan was developed by the GNSO Review Working Party and was [approved](#) by the GNSO Council on 15 December 2016. At its meeting in February 2017, the Board [accepted](#) the GNSO Review Implementation Plan and directed the Review Working Party to provide updates to the OEC every six months.

# ATRT2 Recommendation 11 Implementation

AoC Review Process Effectiveness

31 December 2015

## Implementation 11 Timeline



November 2015  
Complete

## Recommendation 11 Implementation Description

Recommendation 11 addresses ways in which the AoC Review process can be improved to make subsequent reviews more effective.

Using lessons learned, recommendations and observations from the Review Teams, the Board, stakeholders and staff, ICANN has proposed and began implementing improvements to make the AoC Review process more predictable, consistent and efficient.

## Status of Deliverables

	Responsible	Due Date
11.1 AoC reviews fed into strategic activities	Staff	✓
11.2. Timely review process completion	Board	✓
11.3 AoC review team appointment and work	Board	✓
11.4 Implementation Report	Staff	✓
11.5 Resources and Budget	Staff	✓
11.6 AoC Recommendation Communication	Staff	✓
11.7 Timeframe of Implementation	Staff	✓



Complete

Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 11.1 Implementation

AoC Reviews fed into Strategic Activities

31 December 2015

## 11.1 Implementation Timeline



September 2015  
Complete

## 11.1 Sub-Project Description

Sub-project 11.1 purpose is to ensure that the ongoing work of the AoC reviews is fed into the work of other ICANN strategic activities.

## Status of Deliverables

	Responsible	Due Date
Promote ethics, transparency and accountability	Staff	✓
Ensure AoC reviews are a staff priority	Staff	✓
Improve AoC pages on icann.org	Staff	✓



Complete

Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted



# ATRT2 Recommendation 11.1 Implementation

## AoC Review Process Effectiveness

31 December 2015

### Project Status

Under the Strategic Plan for fiscal years 2016-2020, this subproject has been included as goal 5.2 "Promote ethics, transparency and accountability across the ICANN community", with Key Success Factors defined as "Demonstrated accountability and legitimacy of ICANN through the evolution of the Affirmation of Commitments and implementation of review mechanisms."

The Strategic Plan is posted at: <https://www.icann.org/en/system/files/files/strategic-plan-2016-2020-10oct14-en.pdf>

AoC Reviews and resulting recommendations are a priority for staff, Board and CEO as evidenced by the Strategic Objective and the Dashboard. The Board Governance Committee and the Organizational Effectiveness Committee have the oversight responsibility for AoC and Organizational Reviews to ensure that Reviews continue to be an effective accountability mechanism and to ensure that implementation of Improvement progresses as planned. Important lessons learned from recent Reviews have been summarized and shared with the Community, with concrete actions underway to make improvements in future Reviews (more information [here](#)).

AoC Review web pages on icann.org have been improved for transparency and clarity – the new pages went live in August 2015 and feedback is being gathered in preparation for further enhancements, to be done as part of standard operating procedures. This is the responsibility of the Strategic Initiatives team. Link to revised web pages: <https://www.icann.org/resources/accountability>

### Implementation Notes

None

# ATRT2 Recommendation 11.2 Implementation

Timely Review Process Completion

31 December 2015

## 11.2 Implementation Timeline



July 2015  
Complete

## Status of Deliverables

	Responsible	Due Date
Socialize review schedule at ICANN52 and 53	Staff	✓
Review schedule approved by Board	Board	✓

## 11.2 Sub-Project Description

Sub-project 11.2. is focused on the coordination of the various review processes to ensure all reviews are completed before the next ATRT review begins, and with the proper linkage of issues as framed by the AoC.



Complete  
Planned/In Process  
Behind schedule, expected to recover within original plan  
Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 11.2 Implementation

Timely Review Process Completion

31 December 2015

## Project Status

Proposed AoC review schedule and activities were socialized at ICANN52. The materials presented can be found at: <http://singapore52.icann.org/en/schedule/mon-aoc-org-reviews/presentation-aoc-org-reviews-09feb15-en.pdf>

In order to finalize the AoC review schedule and activities, the Board asked staff to post the proposed schedule and process/operational improvements for public comment. [Public Comment](#) was opened on 15 May, due to close on 2 July and extended to 8 July to provide community with additional time to comment. The Board considered feedback received from community at its July meeting (24 July 2015) and endorsed modified Review schedule. See Board Resolution - [2015.07.28.14](#)

Additionally, the Proposed Review Schedule and Process/Operational Improvements for AoC and Organizational Reviews were socialized at ICANN53. The materials presented can be found at: <https://buenosaires53.icann.org/en/schedule/wed-aoc-org-reviews>.

At the direction of the Board, ICANN has engaged in a dialogue with the NTIA, a signatory to the AoC, regarding the changes to the AoC Review schedule endorsed by the Board, and brought these discussions to conclusion in January 2016. Note that the start of the third Accountability and Transparency Review has been changed to January 2017, 6 months earlier than the date in the Board resolution.

## Implementation Notes

The CCWG Accountability process is considering recommendations to include the AoC Reviews into the ICANN Bylaws, which may adjust the timing of Reviews, if needed. Discussions are currently underway to include in the CCWG-Accountability Draft Proposal ICANN's commitment to publish operational standards that lead to workable reviews.

# ATRT2 Recommendation 11.3 Implementation

AoC Appointment and Review Team Work

31 December 2015

## 11.3 Implementation Timeline



July 2015  
Complete

## 11.3 Sub-Project Description

Sub-project 11.3 ensure that AoC Review Teams are appointed in a timely fashion and have sufficient time to complete their work.

## Status of Deliverables

	Responsible	Due Date
Develop a predictable review schedule	Staff	✓
Socialize review schedule at ICANN 52 and 53	Staff	✓
Final review schedule approved by Board	Board	✓



Complete  
Planned/In Process  
Behind schedule, expected to recover within original plan  
Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 11.3 Implementation

AoC Appointment and Review Team Work

31 December 2015

## Project Status

The AoC Review web pages went live in August 2015: <https://www.icann.org/resources/accountability>

Proposed AoC review schedule and activities were socialized at ICANN52. The materials presented can be found at: <http://singapore52.icann.org/en/schedule/mon-aoc-org-reviews/presentation-aoc-org-reviews-09feb15-en.pdf>

In order to finalize the AoC review schedule and activities, the Board asked staff to post the proposed schedule and process/operational improvements for public comment. [Public Comment](#) was opened on 15 May, due to close on 2 July and extended to 8 July to provide community with additional time to comment. The Board considered feedback received from community at its July meeting (24 July 2015) and endorsed modified Review schedule. See Board Resolution - [2015.07.28.14](#)

Additionally, the Proposed Review Schedule and Process/Operational Improvements for AoC and Organizational Reviews were socialized at ICANN53. The materials presented can be found at: <https://buenosaires53.icann.org/en/schedule/wed-aoc-org-reviews>

At the direction of the Board, ICANN has engaged in a dialogue with the NTIA, a signatory to the AoC, regarding the changes to the AoC Review schedule endorsed by the Board, and brought these discussions to conclusion in January 2016. Note that the start of the third Accountability and Transparency Review has been changed to January 2017, 6 months earlier than the date in the Board resolution.

## Implementation Notes

The CCWG Accountability process is considering recommendations to include the AoC Reviews into the ICANN Bylaws, which may adjust the timing of Reviews, if needed. Discussions are currently underway to include ICANN's commitment to publish operational standards that lead to workable reviews in the CCWG-Accountability Draft Proposal.

# ATRT2 Recommendation 11.4 Implementation

AoC Appointment and Review Team Work

31 December 2015

## 11.4 Implementation Timeline



March 2015  
Complete

## 11.4 Sub-Project Description

Sub-project 11.4 ensures an implementation report is prepared, including benchmarks and metrics, to be ready by review kick-off.

## Status of Deliverables

	Responsible	Due Date
Document project management approach	Staff	✓
Develop progress reporting template	Staff	✓
Modify progress templates for Board Oversight	Board	✓



Complete



Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 11.4 Implementation

AoC Appointment and Review Team Work

31 December 2015

## Project Status

The project management approach to implementation is documented on icann.org

<https://www.icann.org/news/announcement-2-2015-01-30-en>

Progress reporting templates have been developed and progress has been published regularly

<https://www.icann.org/news/announcement-2-2015-01-30-en>

Progress reporting templates have been modified to reflect Board oversight and were [published](#) in May 2015. Subsequently, quarterly updates have and will continue to be published. Links to the latest updates and archives are available in the Reviews section of the icann.org: <https://www.icann.org/resources/reviews/aoc>.

## Implementation Notes

None

# ATRT2 Recommendation 11.5 Implementation

## Resources and Budget

31 December 2015

### 11.5 Implementation Timeline



November 2015  
Complete

### 11.5 Sub-Project Description

Sub-project 11.5 ensures the allocation of sufficient resources for Review Teams to fulfill their mandates and make the budget and rationale available at the start of the review. This should include, but is not limited to, accommodation of Review Team requests to appoint independent experts/consultants, if deemed necessary by the teams.

### Status of Deliverables

	Responsible	Due Date
AoC budget process	Staff	✓
Develop budgets for the next round of AoC reviews	Staff	✓
Prepare to publish budgets and rationale	Staff	✓



Complete



Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted



# ATRT2 Recommendation 11.5 Implementation

## Resources and Budget

31 December 2015

### Project Status

A standard process for budgeting for AoC reviews has been established via a budget worksheet.

Developing budgets for the next round of AoC Reviews has been completed as part of the FY16 Operating Plan and Budget which was approved by the Board in June 2015 and is currently underway for FY 17.

Budgets and rationale will be published at the start of each AoC Review, starting with the next AoC Review to take place, CCT, which began in January 2016. This step has been incorporated into the standard operating procedures and is the responsibility of the Strategic Initiatives department.

### Implementation Notes

None

# ATRT2 Recommendation 11.6 Implementation

## AoC Recommendation Communication

31 December 2015

### 11.6 Implementation Timeline



October 2015  
Complete

### Status of Deliverables

	Responsible	Due Date
Document accepted recommendations	<b>Board</b>	✓
Document process by which Board will address the review team recommendations	<b>Staff</b>	✓

### 11.6 Sub-Project Description

Subproject 11.6. Ensures that all AoC Review Team recommendations are addressed in a clear and unambiguous manner, indicating to what extent they are accepting each recommendation.



Complete



Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 11.6 Implementation

## AoC Recommendation Communication

31 December 2015

### Project Status

Acceptance of ATRT2 recommendations is documented at

<https://www.icann.org/resources/board-material/resolutions-2014-06-26-en#2.d>

Documenting the process by which the Board will address AoC Review Team recommendations in a clear and unambiguous manner will be impacted by some of the process improvements being implemented as the result of Board Resolution - [2015.07.28.14](#). This will be updated and posted publically.

### Implementation Notes

None

# ATRT2 Recommendation 11.7 Implementation

Timeframe of Implementation

31 December 2015

## 11.7 Implementation Timeline



April 2015  
Complete

## Status of Deliverables

	Responsible	Due Date
Implementation timeframe	Staff	✓

## 11.7 Sub-Project Description

Subproject 11.7. Ensures an expected time frame for implementation is provided



Complete



Planned/In Process

Behind schedule, expected to recover within original plan

Behind schedule, original plan to be adjusted

# ATRT2 Recommendation 11.7 Implementation

Timeframe of Implementation

31 December 2015

## Project Status

An implementation timeline has been provided and status against this timeline has been reported on beginning with ICANN52

<https://community.icann.org/display/prgrmatrt2impl/Implementation+Program>

## Implementation Notes

None

# ATRT2 Recommendation 12 Implementation

## Financial Accountability and Transparency

Recommendation fully implemented as of 30 June 2016

### Implementation 12 Timeline



June 2016  
Operationalized

#### Subproject Description

Recommendation 12 identifies the need to establish a firmer basis for discussing with the community how to continue developing ICANN and prioritize its work to the benefit of participants within the multistakeholder model. Such a discussion will entail three key elements: 1) revenues; 2) expenses; and 3) the prioritization of ICANN's work.

The recommendation states:

12.1 & 12.5 Board to improve participation of SO/AC in planning process, including sufficient time for interaction.

12.2 Board to take into account the correlation of revenues and expenses in the long term when planning.

12.3 Board to benchmark operations every 3 years, and publish resulting analysis.

12.4 Annual budgets to be based on multi-annual strategic plan. SO/AC budgets to be specified.

### Status of Deliverables

	Responsible	Re-plan Date	Due Date
12.1 & 12.5 – The processes to develop the Strategic Plan, Five-Year Operating Plan and Annual Operating Plan and Budget allow for input from the ICANN community during their development stages via multiple working groups, calls, webinars and public comment periods. In addition, the commencement date for these planning processes have been moved up versus prior years to allow for sufficient time for interaction between the community, ICANN Board and staff. These interactions result in improved input from the community, which ultimately inform ICANN staff's draft and final documents.	Staff	✓	✓
12.2 - The correlation of revenues and expenses in the long term was enabled through the development of a 5-year financial model included in the ICANN strategic plan.	Staff	✓	✓
12.3 – ICANN currently identifies targets in its KPI Dashboard which informs the Annual Report that is reviewed and approved by the ICANN Board. Benchmark references will be included in the KPI Dashboard once a comparable non-profit organization is identified. The estimated time for the first benchmarking study to be completed is FY18.	Staff	✓	✓
12.4 – The Annual Operating Plan and Budgets are derived from the Five-Year Operating Plan following community input. Specific budgets for the SO/AC groups are included in the Annual Operating Plan and Budgets under Objective 1 - Evolve and further globalize ICANN. A draft of the process to specify the entire annual budget by SO/ AC group will be presented at ICANN 59 for community consultation and input.	Staff	✓	✓



Complete



Planned/In Process



Behind schedule, expected to recover within original plan



Behind schedule, original plan to be adjusted



# ATRT2 Recommendation 12 Implementation

## Financial Accountability and Transparency

Recommendation fully implemented as of 30 June 2016

### **Recent Update:**

12.1 & 12.5 The successes achieved for FY16 and FY17 have been leveraged and incorporated into the draft FY18 process.

12.2 The correlation of revenues and expenses in the long term is embedded in the ICANN Strategic Planning process.

12.3 ICANN currently identifies targets in its KPI Dashboard which informs the Annual Report that is reviewed and approved by the ICANN Board. Benchmark references will be included in the KPI Dashboard once a comparable non-profit organization is identified. The estimated time for the first benchmarking study to be completed is FY18.

12.4 ICANN's annual budgets are based on ICANN's Five-year Strategic Plan. The annual Operating Plan and Budget development process includes an update to the Five-year Operating Plan based on progress toward the strategic goals defined in the Five-year Strategic Plan.

Specific budgets for the SO/AC groups are included in the Annual Operating Plan and Budgets under Objective 1 - Evolve and further globalize ICANN. The budget covers the direct support of activities such as developing work plans and priorities; managing logistics, content, and reports of all meetings and workshops; and preparing and publishing work products. The financial impact of indirect and shared services support of SO/ AC activities is currently being defined and will be presented at ICANN 59 for community consultation and input.

### **Project Status**

12.1 & 12.5 - The processes to develop the Strategic Plan, Five-Year Operating Plan and Annual Operating Plan and Budget allow for input from the ICANN community during their development stages via multiple working groups, calls, webinars and public comment periods. In addition, the commencement dates for these planning processes have been moved up versus prior years to allow for sufficient time for interaction between the community, ICANN Board and staff. These interactions result in improved input from the community, which ultimately inform ICANN staff's draft and final documents. These interactions have been well received by the community and will continue to be a part of the planning and budgeting processes in the future.

### Working Groups, calls, webinars:

#### FY16

On 25-November-2014 UTC 1500 - 1600A, ICANN hosted a call during which staff and community members discussed the ICANN Draft Five-Year Operating Plan and FY16 Operating plan and Budget Calendar. On 09-February-2015 at ICANN 52 in Singapore, ICANN staff hosted a small working group to review and define budget assumptions relative to revenue, priorities, initiatives, expenses envelopes for FY16 Operating Plan and Budget.

<https://community.icann.org/display/projfinadhocws/FY16+Budget+Planning+Process>

#### FY17

# ATRT2 Recommendation 12 Implementation

## Financial Accountability and Transparency

Recommendation fully implemented as of 30 June 2016

### Project Status (continued)

For the FY17 process, ICANN staff continued its interaction with the community via a webinar, face-to-face working groups and meetings with SO/AC groups in Dublin and Marrakech, and a high interest topic session in Marrakech.

- 22 Sep 2015 webinar: <https://community.icann.org/display/projfinadhocws/22-Sep-2015+FY17+Operating+Plan+and+Budget+Kick-off+Webinar>;
- 18 Oct 2015 Working Group (Dublin): <https://community.icann.org/pages/viewpage.action?pagelId=56139362>,
- 21 Oct 2015 Operations Update (Dublin): <https://meetings.icann.org/en/dublin54/schedule/wed-operations>
- 06 Mar 2016 Working Group (Marrakech):  
<https://icann.adobeconnect.com/p7i5warfom6/?launcher=false&fcsContent=true&pbMode=normal>
- 10 Mar 2016 High interest topic (Marrakech): <https://community.icann.org/pages/viewpage.action?pagelId=58732903>

### Public Comments and Community Calls

ICANN received a wide range of comments on the Draft FY16 and FY17 Operating Plan and Budgets from multiple contributors. ICANN staff and Board Finance Committee (BFC) members participated in calls with the organizations that submitted comments. The purpose of the calls was to ensure understanding of the comments so that the most clear and relevant responses possible would be provided. The comments and feedback from the community calls were reviewed by ICANN staff and BFC members and used to amend and improve the final documents.

#### FY16

- 5-year Strategic Plan Public Comment Response Report: [www.icann.org/resources/pages/strategic-engagement-2013-10-10-en](http://www.icann.org/resources/pages/strategic-engagement-2013-10-10-en)
- 5-year Operating Plan Public Comment Response Report : [www.icann.org/public-comments/proposed-opplan-budget-2016-2020-2014-11-11-en](http://www.icann.org/public-comments/proposed-opplan-budget-2016-2020-2014-11-11-en)
- FY16 Operating Plan & Budget Public Comment Response Report : [www.icann.org/public-comments/op-budget-fy16-2015-03-18-en](http://www.icann.org/public-comments/op-budget-fy16-2015-03-18-en)
- Community Calls:  
<https://community.icann.org/display/projfinadhocws/Public+comments+submitted+on+the+Draft+FY16+Operating+Plan+and+Budget>

#### FY17

- 5-year Operating Plan Update and FY17 Operating Plan & Budget Public Comment Response Report:  
<https://www.icann.org/en/system/files/files/report-comments-op-budget-fy17-five-year-06jun16-en.pdf>
- Community Calls:  
<https://community.icann.org/display/projfinadhocws/Calls+with+Community+on+Public+Comments+Submitted+on+the+Draft+FY17+Operating+Plan+and+Budget>



# ATRT2 Recommendation 12 Implementation

## Financial Accountability and Transparency

Recommendation fully implemented as of 30 June 2016

### Project Status (continued)

12.2 The correlation of revenues and expenses in the long term is enabled through the development of a 5-year financial model included in the ICANN Strategic Plan (FY16-20).

[www.icann.org/en/system/files/files/strategic-plan-2016-2020-10oct14-en.pdf](http://www.icann.org/en/system/files/files/strategic-plan-2016-2020-10oct14-en.pdf)

12.3 One of the cornerstones to ICANN's financial transparency and accountability is the process of providing operational and financial performance results on ICANN's deliverables on a regular and timely basis. This has been enabled through ICANN's Quarterly Stakeholder Calls, Quarterly Financial Reporting, Audited Financial Statements and the KPI Dashboard (see links below). ICANN currently identifies targets in its KPI Dashboard which informs the Annual Report that is reviewed and approved by the ICANN Board. Benchmark references will be included in the KPI Dashboard once a comparable non-profit organization is identified. The estimated time for the first benchmarking study to be completed is FY18.

<https://www.icann.org/resources/pages/quarterly-reports-2014-11-13-en>

<https://www.icann.org/resources/pages/governance/financials-en>

<https://www.icann.org/news/blog/icann-beta-kpi-dashboard>

<https://www.icann.org/resources/pages/governance/annual-report-en>

12.4 The Adopted Five-year (FY16-20) Operating Plan Update includes: a five-year planning calendar; strategic goals with corresponding key performance indicators, dependencies, five-year phasing, and list of portfolios; and a five-year financial model. The Annual Operating Plan and Budgets are derived from the Adopted Five-year Operating Plan Update following community input. The document includes data on all projects to be carried out by the organization during the fiscal year and displays all costs categories for each project. Each project is also mapped to one of the five objectives of the strategic plan, through the hierarchy of portfolios and goals, making the rationale for each project and activity clear and transparent. Specific budgets for the SO/AC groups are included in the Annual Operating Plan and Budgets under Objective 1 - Evolve and further globalize ICANN. The budget covers the direct support of activities such as developing work plans and priorities; managing logistics, content, and reports of all meetings and workshops; and preparing and publishing work products. The financial impact of indirect and shared services support of SO/ AC activities is currently being defined and will be presented at ICANN 59 for community consultation and input.

<https://www.icann.org/en/system/files/files/adopted-opplan-2016-2020-27jun16-en.pdf>

<https://www.icann.org/en/system/files/files/adopted-opplan-budget-portfolio-project-fy17-25jun16-en.pdf>

# ATRT2 Recommendation 12 Implementation

Financial Accountability and Transparency

Recommendation fully implemented as of 30 June 2016

## Implementation Notes

The annual Operating Plan and Budgets are the collective achievement of the ICANN community and the multistakeholder model, that transformed the goodwill of collaboration into the reality of successful output. The development process is a solid platform to build on for future stronger achievements. ICANN staff will continue to review the lessons learned from each year's process to ensure improvements are implemented and sustained.