

# 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)

<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): <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



### 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