Agenda

1. Review Timeline & Milestones
2. Independent Examiner Selection - Request for Proposal Process
3. Review Scope of Work, Evaluation Criteria & Methodology
4. Initial Assessment of 2008 Review Recommendations (Self-Assessment)
5. Lessons Learned
6. Useful Tools and Resources
Review Timeline & Milestones
Proposed Timeline – High-Level

Next Steps

- Jul-Oct 2015
  Preparation: Scope of Work, Criteria

- Nov ‘15-Mar ‘16
  Competitive Bidding/ RFP & Initial Assessment of 2008 Recommendations (Self-Assessment)

- Apr ’16-Jan ‘17
  Conduct Review

- Jan ‘17
  Final Report

- Feb ‘17-TBD
  Board Action, Plan Implementation and Implement Improvements

Working Party Activities:
- Feedback on Timeline, Scope of Work, Criteria and Methodology
- Initial Assessment of 2008 Recommendations (Self-Assessment)
Proposed Road Map for At-Large Review

Review plans continuously aligned with community workload and flexibility to accommodate extensions, when necessary.
Proposed Working Party Charter

Proposed Charter will be circulated to Review Team members, for review & adoption at next meeting

- Liaison between ALAC At-Large Community, independent examiner and OEC
- Provide input on scope of work, evaluation criteria, review methodology & selection criteria
- Serve as conduit for input from ALAC and At-Large Community
- Offer objective guidance throughout Review to ensure report accurately reflects At-Large structure, scope and dynamics
- Assist with communication & awareness to encourage participation
- Coordinate preparation of Implementation Plan & champion implementation of improvements
Working Party Activities and Milestones

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>- Adopt Charter</td>
<td>- Initial Assessment of 2008 Recs (Self-Assessment);</td>
<td>- Input into Data Collection (Surveys &amp;</td>
</tr>
<tr>
<td>- Feedback on Timeline, Scope</td>
<td>- Lessons from 2008 Review</td>
<td>Interviews)</td>
</tr>
<tr>
<td>of Work, Criteria and</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Methodology</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Assistance with Outreach &amp;</td>
<td>- Feedback to Independent Examiner on factual</td>
<td>- Feasibility Assessment of Final</td>
</tr>
<tr>
<td>Engagement with Community</td>
<td>accuracy, usefulness and feasibility of</td>
<td>Recommendations</td>
</tr>
<tr>
<td></td>
<td>recommendations</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Independent Examiner Selection - Request for Proposal Process

Presentation by Xavier Calvez, CFO
RFP Basics

- Request For Proposal: offer to bid on a scope of services

- The threshold for conducting RFPs is US$150K

- If below US$150K: situations when an RFP is warranted:
  - Key strategic projects
  - Projects having high community impact
  - High risk projects
  - Public interest projects
RFP Governance Model

Advisory Groups

- Board
- Working Party
- OEC

ICANN

Legal

RFP Core Team

- Functional Team Members
- Procurement

Supplier Pool

- Selected Independent Examiner
- RFP Respondents
RFP Process Flow

Stakeholders

Advisory Group(s)

ICANN RFP Team

RFP Respondents

Start RFP

Provide input, requirements, etc.

Prepare RFP documents and issue RFP

Respond to questions

Evaluate Proposals. Provide feedback of recommended supplier to Advisory Group(s)

Submit Proposals

Provide any feedback

Negotiate contract and award to selected supplier

End RFP
RFP Evaluation Guidelines

- **RFP Evaluation** – The RFP Core Team is responsible for conducting the evaluation of the proposals according to the evaluation criteria published in the RFP.

- **Confidentiality** – It is important that the specific scoring and RFP evaluation details are kept confidential – only the RFP Core team and Legal may have access to those documents, which are filed with Procurement. The final result (i.e. name of supplier selected) may be published.

  - This is in line with standard purchasing ethics worldwide that is followed by both Fortune 1000 companies as well as smaller firms.

  - Additionally, ICANN typically has signed confidentiality documents (NDAs) with the participants as part of the RFP process – this requires that ICANN not disclose any details pertaining to the participant.
Review Scope of Work, Evaluation Criteria & Methodology
Review Scope of Work

Assess effectiveness of.....

• Improvements resulting from recommendations from last Review (2008)
• At-Large organization - ALAC, Regional At-Large Organizations (RALOs) and At-Large Structures (ALSe)

…relative to specified evaluation criteria
Review Evaluation Criteria

- Fulfilment of Mission
- Adherence to Policies/Procedures
- Organizational Support

- Accountability & Transparency to the Public

- Membership Processes & Participation
- Communication

- Governance & Management
- Effectiveness of Execution

- Evaluation & Measurement of Outcomes

- Effectiveness of Implementation of Prior Review Recommendations

Additional Criteria?
Proposed Independent Examiner Selection Criteria

1. Understanding of the assignment
2. Knowledge and expertise
   - Demonstrated experience in conducting broadly similar examinations
   - Not-for-profit experience
   - Basic knowledge of ICANN
   - Geographic and cultural diversity, multilingualism, gender balance
   - Suitability of proposed CVs
3. Proposed methodology
   - Work organization, project management approach, timelines
   - Suitability of tools and methods or work
   - Clarity of deliverables
4. Flexibility
   - Meeting the timeline
   - Ability to adjust to circumstances that could extend the review
   - General adaptability
5. Reference checks
6. Financial value
7. No Conflict of Interest

Additional Criteria?
Review Methodology

- Online surveys
  - Quantitative and qualitative elements focused on evaluation criteria
  - Feedback from members of At-Large Community, interested members from ICANN community and other structures, members of the Board and staff
- Observation of proceedings
- One-on-one interviews
- Review and analysis of documentation and records
Initial Assessment of 2008 Review Recommendations (Self-Assessment)
Assessment by Working Party

Did implemented improvements address findings & recommendations of 2008 Report?
- Did it get done?
- Did it work?
- How can progress be demonstrated / quantified?
- Is additional work needed?
- Is work underway?

What significant developments have impacted or will impact the At-Large organization since the last Review?

Lessons Learned from 2008 Review
- What worked?
- What did not work as well as expected?
- What improvements should be made?
Lessons Learned from Recent Reviews
1. Community buy-in is essential for successful implementation of improvements

2. Feedback loop & measurable improvements contribute to buy-in

3. Link Review outputs to Strategic Planning and other ICANN processes

4. Reviews of individual organizations should be aligned with ICANN strategic direction and overall structure

5. Plan thoughtfully: apply relevant elements, realistic timelines, clear directions and definitions

6. Implementation plans must contain required elements to be approved by the Board
Lessons from Recent Reviews

Community’s attention, engagement & buy-in are critical
- Review Working Party role
- Coordinated communication & engagement to achieve participation
- Community buy-in and feedback loop are essential
- Coordinated review schedule in tune with community work

Operational effectiveness → readiness for strategic challenges
- Organizational Reviews comprised of different assessments/processes
- Ongoing purpose – part of the strategic planning process; link output of Reviews to Strategic Planning
- Alignment with overall structure of ICANN

Project management discipline essential in reviews & implementation projects
- Widely accepted standards
- Well documented plans – timelines, milestones, resources
- Mechanism for risk management
- Plan to stretch review & implementation timeline in response to community workload

Implementation success difficult to assess without specific agreed upon success factors
- Implementation plans must contain required elements to be approved
- Shared understanding: Community, examiner, Board, Staff
- Consistently applied criteria: recommendation → implementation → assessment of effectiveness

Standard Policies, Procedures & Guidelines facilitate fulfillment of mandates & commitments
- Predictable, consistent and efficient application
- Include checks and balances
- Clear & understood by Community
- Cross-reference between Reviews

Support for data-driven, measurable outcomes
- Measurable improvements essential to community’s engagement
- Decision making
- Review methodology
- Assessment of effectiveness of improvements
Useful Tools and Resources
Wiki space for At-Large Review

At-Large/ALAC Review Workspace Home

Welcome to the At-Large/ALAC Reviews Workspace!

This workspace is the hub for all updates, documents, and work related to the ALAC/At-Large Reviews. Select a Page below to access the information.

At-Large Review 2015 - 2019 (Current)

ALAC Review 2008 - 2012 (Completed)

Frequently Asked Questions – in draft
Accountability

ICANN has a proven commitment to accountability and transparency in all of its practices. Indeed, ICANN considers these principles to be fundamental safeguards in ensuring that its international, bottom-up and multi-stakeholder operating model remains effective.

The mechanisms through which ICANN archives accountability and transparency are built into every level of its organization and mandate - beginning with its Bylaws and Affirmation of Commitments.

ICANN Accountability Mechanisms

Accountability Mechanisms
- Reconsideration
- Ombudsman
- Independent Review Process
- Document Information Disclosure Policy [1]
- Other Mechanisms [1]

Organizational Reviews
- At-Large
- ASO
- ccNSO
- GNSO
- Nominating Committee
- SSAC
- Board of Directors [2]
- Technical Liaison Group [2]

AoC Reviews
- Accountability and Transparency-(ATRT)
- Security, Stability and Resiliency of the DNS-(SSR)
- WHOIS Policy
- Competition, Consumer Trust, and Consumer Choice
Thank You