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STATUS: Ratification Pending

AT-LARGE ADVISORY COMMITTEE

ALAC Statement on Recommendations to Improve ICANN's Office of Ombudsman (IOO)

Introduction

Alan Greenberg, ALAC Chair and ALAC Member of the North American Regional At-Large Organization (NARALO), Bastiaan Goslings, ALAC Vice Chair and ALAC Member of the European Regional At-Large Organization (EURALO), and Seun Ojedeji, ALAC Member of the African Regional At-Large Organization (AFRALO), developed an initial draft of the Statement on behalf of the ALAC.

On 11 January 2018, the first draft of the Statement was posted on its At-Large Workspace.

On that same date, ICANN Policy Staff in support of the At-Large Community sent a Call for Comments on the Statement to the At-Large Community via the ALAC Work mailing list.

On 13 January 2018, a version incorporating the comments received was posted on the aforementioned workspace and the ALAC Chair requested that Staff open an ALAC ratification vote.

In the interest of time, the ALAC Chair requested that the Statement be transmitted to the ICANN public comment process, copying the ICANN Staff member responsible for this topic, with a note that the Statement is pending ALAC ratification.

ALAC Statement on Recommendations to Improve ICANN's Office of Ombudsman (IOO)

The ALAC commends the subgroup and entire CCWG on ICANN Accountability for their work in producing this draft. The ALAC supports the draft as currently presented. Nevertheless, we would like to make a few comments for CCWG's consideration.

Recommendation 7: While we acknowledge and support gender diversity, we also suggest that language diversity be considered in Staff resource configuration, to the extent practical.

Recommendation 11: We recognize that the items proposed will address important, high-level policies expected to be observed by the Office of the Ombudsman; therefore, we do not believe restricting the Ombudsman from certain activities (i.e. socializing) as suggested by certain members of the Community is a necessary detail to codify in such policy. We expect the Ombudsman would understand their role, hence would observe his/her duties accordingly; Community policing of the Ombudsman should not be a solution to fix a performance issue.

Once again, we would like to thank the CCWG for their work and the opportunity to contribute to this process, and we look forward to continuing our engagement in the process.



Comment on Draft Recommendations to Improve ICANN's Office of Ombudsman

Status: FINAL

Version: 2

14-Jan-2018

Business Constituency Submission

GNSO//CSG//BC

Background

This document is the response of the ICANN Business Constituency (BC), from the perspective of business users and registrants, as defined in our Charter:

The mission of the Business Constituency is to ensure that ICANN policy positions are consistent with the development of an Internet that:

- 1. promotes end-user confidence because it is a safe place to conduct business
- 2. is competitive in the supply of registry and registrar and related services
- 3. is technically stable, secure and reliable.

BC Comments on Draft Recommendations to Improve ICANN's Office of Ombudsman (IOO)

The BC appreciates the work of the ICANN Office of Ombudsman (IOO) Sub-group of the CCWG -Accountability Work Stream 2¹. It believes that the Office of the Ombudsman is important to the longterm health of ICANN as a unique Multi-stakeholder entity.

On the recommendations provided by the IOO sub-group, the BC comments as follows:

Recommendation 1 - The Ombuds Office should have a more strategic focus.

Comment: The BC agrees with this recommendation. Indeed, the Ombuds Office should have a long term relevance to the sustainability of ICANN unique governance ecosystem.

Recommendation 2 - The Ombudsman office should include procedures that:

- Distinguish between different categories of complaints and explains how each will be handled
- Set out the kinds of matters where the Ombuds will usually not intervene and where these matters are likely to be referred to another channel (with the complainant's permission)
- Provides illustrative examples to deepen understanding of the Ombuds approach

Comment: Agreed.

Recommendation 3 - Once ICANN has agreed to a revised configuration for the Office of the Ombuds, a plan should be developed for a soft re-launch of the function, which should incorporate action to emphasize the importance of the Ombuds function by all relevant parts of ICANN, including the Board, CEO, Community groups, and Complaints Officer

Comment: Fully agreed.

¹ ICANN comment page at https://www.icann.org/public-comments/ioo-recs-2017-11-10-en

Recommendation 4 - All relevant parts of ICANN should be required (should include the Corporation, the Board and Committees and anybody or group with democratic or delegated authority) to respond within 90 days (or 120 days with reason) to a formal request or report from the Office of the Ombuds. The response should indicate the substantive response along with reasons. Should the responding party not be able to meet the 120 days limit due to exceptional circumstances that party can apply to the IOO to seek an additional extension prior to the expiration of the original 90 days delay. The application should be in writing, stating the nature of the exception and the expected time required to respond. The IOO will respond to such requests within a week.

Comment: Agreed.

Recommendation 5 - The ICANN Office of the Ombuds should establish timelines for its own handling of complaints and report against these on a quarterly and annual basis.

Comment: Agreed.

Recommendation 6 - The Office of the Ombuds should be configured so that it has formal mediation training and experience within its capabilities.

Comment: It is expected that anyone that would be engaged to handle this responsibility should have proven mediation skills and training. So, recommendation is agreed.

Recommendation 7 - The Office of the Ombuds should be ideally configured (subject to practicality) so that it has gender, and if possible other forms of diversity within its staff resources (The primary objective of this recommendation is to ensure that the community has choices as to whom in the IOO they can bring their complaints to and feel more comfortable doing so).

Comment: This recommendation is not clear. It is expected that an Ombudsman is a person and not persons and as such the question of choice of whom a complaint can be addressed does not arise. However, it should be part of the job requirements for the Ombudsman that he or she is not in any way biased, and this should be ascertained by review of past engagement of the potential Ombudsman. From time to time, a part time consultant could be retained by the office of the Ombuds. Qualifications, expertise, and experience should be the prevailing standard -- not the gender of those employed in the Office. Therefore, this recommendation may not be relevant.

Recommendation 8 - ICANN should establish an Ombuds Advisory Panel:

- Made up of 5 members to act as advisers, supporters, wise counsel for the Ombuds and should be made up of a minimum of at least 2 members with ombudsman experience and the remainder with extensive ICANN experience
- The Panel should be responsible for:

• Contribute to the selection process for new Ombuds which would meet the various requirements of the Board and community including diversity.

• Recommending candidates for the position of Ombuds to the Board.

• Recommending terms of probation to the Board for new Ombuds.

Recommend to the Board firing an Ombuds for cause.

• Contribute to an external evaluation of the IOO every 5 years.

• Making recommendations regarding any potential involvement of the IOO in non-complaint work based on the criteria listed in recommendation 11.

• The Panel cannot be considered as being part of the Ombuds office and cannot be considered additional Ombuds, but rather external advisors to the office.

• Any such advisory panel would require the Ombuds to maintain its confidentiality engagements per the Bylaws.

Comment: Agreed.

Recommendation 9 - The Ombuds employment contracts should be revised to strengthen independence by allowing for a:

• 5 years fixed term (including a 12 month probationary period) and permitting only one extension of up to 3 years

• The Ombuds should only be able to be terminated with cause

Comment: Agreed, but extension should be subject to a community-based feedback mechanism to the "Advisory Panel" covering Ombuds performance over the previous 5 years.

Recommendation 10 - The Ombuds should have as part of their annual business plan, a communications plan, including the formal annual report, publishing reports on activity, collecting and publishing statistics and complaint trend information, collecting user satisfaction information and publicizing systemic improvements arising from the Ombuds' work.

Comment: Agreed.

Recommendation 11 - The following points should be considered and clarified publicly when looking at Ombuds involvement in any non-complaints work:

• Whether there is unique value that the Ombuds can add through the proposed role or function?

- Whether the proposed reporting/accountability arrangements may compromise perceived independence?
- Whether the proposed role/function would limit the Ombuds ability to subsequently review a matter?
- Whether the workload of the proposed role/function would limit the Ombuds ability to prioritise their complaints-related work?
- Whether any Ombuds involvement with the design of new or revised policy or process, creates the impression of a 'seal of approval'?
- Whether the proposed Ombuds input may be seen as a 'short-cut' or substituting for full stakeholder consultation?

Comment: Fully agreed.

The additional recommendations by the Transparency sub-group with respect to involving the Ombuds in the DIDP process should be considered using the criteria in recommendation 11. This specific point will be noted in the public comment process for this document to gauge if the community supports these additional recommendations when considering the criteria in recommendation 11.

Comment. Agreed.

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This comment was drafted by Jimson Olufuye, with edits by Marilyn Cade and Steve DelBianco. It was approved in accord with the BC charter.



COMMENTS OF THE INTELLECTUAL PROPERTY CONSTITUENCY (IPC)

RECOMMENDATIONS TO IMPROVE ICANN'S OFFICE OF THE OMBUDSMAN

January 14, 2018

The Intellectual Property Constituency (IPC) of the Generic Names Supporting Organization (GNSO) is pleased to submit supportive comments on *Recommendations to Improve ICANN's Office of Ombudsman (IOO)* (Draft),¹ published for public comment on November 10, 2017.

The IPC supports the efforts the CCWG-Accountability Work Stream 2 (WS2) to examine enhancements to the Ombudsman's role and function. The Ombudsman role should play a key role in ensuring fairness in ICANN activities and decisions. The IPC agrees with the discussion in the Draft which reflects that, to date, the Ombudsman role and process can be improved. We offer the following input on the Draft:

- The IPC agrees that Ombuds Office "should have a more strategic focus" (Recommendation 1), but urges WS2 to provide more detail in its finalized recommendations. A more strategic focus for the Ombuds Office should mean that, in its enhanced role, it has comprehensive understanding of ICANN's unique structure and its role in supporting ICANN's goals and viability.
- The IPC supports Recommendation 2 and agrees that the Ombuds Office should have procedures in place to categorize complaints and how each category should be handled; should set out which matters the Ombuds Office will not intervene in; and should provide illustrative examples that cover the most common controversies the Ombuds Office deals with. The IPC supports requiring written substantive responses within a reasonable timeframe, with the ability for a responding party to seek an extension from the IOO (Recommendation 4); that the Ombuds Office establish timelines for complaint resolution and report on its ability to meet these timelines (Recommendation 5); establishing an Ombuds Advisory Panel (Recommendation 8); and that the Ombuds Office develop a communications plan in its annual report to ensure that the IOO publishes reports on its activity, collects and publishes statistics and complaint trend information, collects user satisfaction information and publicizes systemic improvements arising from the Ombuds' work (Recommendation 10).

¹ https://www.icann.org/public-comments/ioo-recs-2017-11-10-en.

- The IPC supports the "soft launch" of the enhanced Ombuds Office across ICANN's structure (Recommendation 3). The IPC commits to assist in educating its members when appropriate.
- The IPC supports the recommendation that the Ombuds Office provides mediation training to its Ombudsman (Recommendation 6).
- The IPC supports that Ombuds employment contracts be revised to strengthen independence by allowing for a [1] a 5 years fixed term (including a 12 month probationary period) and permitting only one extension of up to 3 years; and [2] the Ombuds to only be able to be terminated with cause. We encourage a community feedback mechanism that feeds into the IOO as part of this process.
- The questions raised in Recommendation 11 regarding the Ombuds Office's involvement in any "non-complaint work" are important and the IPC supports this recommendation. However, we request further detail as to what "non-complaint work" the Ombuds Office would be involved with in ICANN.

Thank you for your consideration of these comments.

Respectfully submitted,

Intellectual Property Constituency

Statement of the Non-Commercial Stakeholders Group on the CCWG-Accountability Work Stream 2 (WS2) draft recommendations on the ICANN Ombuds Office (IOO)

The Non-Commercial Stakeholders Group (NCSG) appreciates the opportunity to submit this comment on the October 2017 report of the CCWG-Accountability-WS2 Draft Recommendations on the ICANN Ombuds Office (IOO).

The NCSG would like to thank the members of the IOO subgroup for their efforts in developing the proposed set of recommendations intended to improve the role and function of the Ombuds office. We have carefully reviewed these recommendations, and we would like to raise several concerns that in our informed opinion we consider not to have been addressed in the report:

- 1) The Ombuds Office procedures should be set through consultation with the community.
- 2) The NCSG is not satisfied that the independence of the Ombuds Office has been sufficiently addressed. The NCSG does not believe that the problem of independence of the Ombuds persons can be solved with 5-year fixed-term contracts. If the meaning of this recommendation is that the Ombuds office, as an external entity, should be given a fixed-term contract, the NCSG supports this suggestion. However, if this refers to individual Ombudspersons, the issue of independence will remain. Since the Ombudsperson directly receives her/his revenue from ICANN, the fixed-term contract does not eliminate economic incentives that can potentially hamper the ombuds' independence. It also does not preclude the Ombudsperson from taking up employment after their fixed-term contract ends with a stakeholder in the domain name industry.
- 3) We think that the accountability and independence of the Ombuds could only be maintained if it is an office and not a person. At present, the Ombuds is an ombudsperson. We suggest that to ensure and maintain the independence of the office, the best way would be to use an external organization that provides ombuds services and does not have ICANN as its sole source of revenue.
- 4) The NCSG believes that the report is missing one very important point about independence and accountability of Ombuds office. We think that under no circumstances should the Ombudspersons socialise and befriend community members. This is a very obvious independence element which, unfortunately, has not made it into the report. We suggest the subgroup to consider the situation when the decision maker of someone's case at a social event is talking and smiling at the party, which has a complaint filed against them. Independence is seriously affected by social encounters and interactions. We believe that the final report should include a recommendation for the Ombudsman's office to consult the community to establish appropriate rules around

socialization and interactions so/as not to compromise their official role as an oversight mechanism.

- 5) In regards to recommendation 4, which requires the community to respond to the Ombuds office in due time with reasoning, we believe such a responsibility should be mutual. The timeliness of the Ombuds Office actions should be preserved (as is indicated in recommendation 5) and the office must provide reasons for its decision. Also, if the responding party requests for additional extension in case of exceptional circumstances as mentioned in the Recommendation 4, the additional extension granted by the Ombuds Office should not be more than 30 days.
- 6) The nature of the Ombuds office decisions are non-binding, but such nature has to be clarified. In recommendation 4 suggests, the community has to respond to Ombuds Office inquires. We agree that the community, and ICANN the organization, must respond to reasonable Ombuds Office inquiries, but not to be obliged to comply with the decisions of the Ombuds Office (as stated in the report). Moreover, the procedure for if a decision of the Ombudsman's office is not complied with should be clarified in the Ombuds Office procedures.
- 7) We would also like to raise our concern about recommendation 7, which currently reads as: "Recommendation 7. The Office of the Ombuds should be ideally configured (subject to practicality¹) so that it has gender diversity within its staff resources".

 The CCWG plenary discussed this issue and agreed that recommendation 7 removes the term "subject to practicality".² The sub-group rapporteur was suggested to change the language to: "... The office of the ombuds should be ideally configured so that it has gender, and if possible other forms of diversity within its staff resources" (Transcript of the meeting, page 19). This suggestion was supported by the group. We do not see this change reflected in the final report which was put up for public comment.

Thank you very much for considering our comments. We are at your disposal should you require clarification on our recommendations.

¹ Emphasis added by the NCSG.

² https://community.icann.org/pages/viewpage.action?pageId=71598541

Registries Stakeholder Group Statement

Issue: Recommendations to Improve ICANN's Office of Ombudsman (IOO)

Date statement submitted: 12 January 2018

Reference URL: https://www.icann.org/public-comments/ioo-recs-2017-11-10-en

Background

The CCWG-Accountability Work Stream 2 developed 11 recommendations to Improve ICANN's Office of Ombudsman:

- 1. The Ombuds Office should have a more strategic focus.
- 2. The Ombudsman office should include procedures that:
 - Distinguish between different categories of complaints and explains how each will be handled
 - Set out the kinds of matters where the Ombuds will usually not intervene and where these matters are likely to be referred to another channel (with the complainant's permission)
 - Provides illustrative examples to deepen understanding of the Ombuds approach
- 3. Once ICANN has agreed to a revised configuration for the Office of the Ombuds, a plan should be developed for a soft re-launch of the function, which should incorporate action to emphasis the importance of the Ombuds function by all relevant parts of ICANN, including:
 - Board

Community groups

CEO

- Complaints Office
- 4. All relevant parts of ICANN should be required (should include the Corporation, the Board and Committees and anybody or group with democratic or delegated authority) to respond within 90 days (or 120 days with reason) to a formal request or report from the Office of the Ombuds. The response should indicate the substantive response along with reasons. Should the responding party not be able to meet the 120 days limit due to exceptional circumstances that party can apply to the IOO to seek an additional extension prior to the expiration of the original 90 days delay. The application should be in writing, stating the nature of the exception and the expected time required to respond. The IOO will respond to such requests within a week.
- 5. The ICANN Office of the Ombuds should establish (KPIs) timelines for its own handling of complaints and report against these on a quarterly and annual basis.
- 6. The Office of the Ombuds should be configured so that it has formal mediation training and experience within its capabilities.
- 7. The Office of the Ombuds should be ideally configured (subject to practicality) so that it has gender, and if possible other forms of diversity within its staff resources (The primary objective of this recommendation is to ensure that the community has choices as to whom in the IOO they can bring their complaints to and feel more comfortable doing so).
- 8. ICANN should establish an Ombuds Advisory Panel:
 - Made up of 5 members to act as advisers, supporters, wise counsel for the Ombuds and should be made up of a minimum of at least 2 members with ombudsman experience and the remainder with extensive ICANN experience.
 - The Panel should be responsible for: °Contribute to the selection process for new Ombuds which would meet the various requirements of the Board and community including diversity. °Recommending candidates for the position of Ombuds to the Board. °Recommending terms of probation to the Board for new Ombuds. °Recommend to the Board firing an Ombuds for cause. °Contribute to an external evaluation of the IOO every 5 years. °Making recommendations regarding any potential involvement of the IOO in non-complaint work based on the criteria listed in recommendation 11.
 - The Panel cannot be considered as being part of the Ombuds office and cannot be considered additional Ombuds, but rather external advisors to the office.
 - Any such advisory panel would require the Ombuds to maintain its confidentiality engagements per the Bylaws.
- 9. The Ombuds employment contracts should be revised to strengthen independence by allowing for a:
 - 5 years fixed term (including a 12 month probationary period) and permitting only one extension of up to 3 years

- The Ombuds should only be able to be terminated with cause
- 10. The Ombuds should have as part of their annual business plan, a communications plan, including the formal annual report, publishing reports on activity, collecting and publishing statistics and complaint trend information, collecting user satisfaction information and publicising systemic improvements arising from the Ombuds' work.
- 11. The following points should be considered and clarified publicly when looking at Ombuds involvement in any non-complaints work:
 - Whether there is unique value that the Ombuds can add through the proposed role or function?
 - Whether the proposed reporting/accountability arrangements may compromise perceived independence?
 - Whether the proposed role/function would limit the Ombuds ability to subsequently review a matter?
 - Whether the workload of the proposed role/function would limit the Ombuds ability to prioritise their complaints-related work?
 - Whether any Ombuds involvement with the design of new or revised policy or process, creates the impression of a 'seal of approval'?
 - Whether the proposed Ombuds input may be seen as a 'short-cut' or substituting for full stakeholder consultation?

The additional recommendations by the Transparency sub-group with respect to involving the Ombuds in the DIDP process should be considered using the criteria in recommendation 11. This specific point will be noted in the public comment process for this document to gage if the community supports these additional recommendations when considering the criteria in recommendation 11.

Registries Stakeholder Group (RySG) comment:

The Registries Stakeholder Group (RySG) welcomes the opportunity to comment on the proposed Recommendations to Improve the ICANN Office of Ombudsman (IOO). The RySG wants to express its appreciation for the work and commitment of the members of the CCWG Accountability Work Stream Two on this issue.

The RySG wishes to make the following comments on the proposed recommendations.

With respect to **Recommendation #4** (requiring groups to respond to a formal request or report from the Ombudsman within 90 days, with the ability seek a 30-day extension from the Ombudsman), the RySG does not support the Ombudsman's ability to issue such 'orders' as drafted.

The RySG is aware of the requirement under ICANN bylaws that the Ombudsman have access to necessary information and records from ICANN staff and constituent bodies to enable an informed evaluation of complaints and to assist in dispute resolution where feasible. But while committed to ensuring the Ombudsman has timely information, the RySG retains discretion to allocate its resources (including demands on volunteer time) as it deems best in balancing important calls on its input. Ombudsman-issued deadlines are inconsistent with that principle and would be unworkable.

With respect to Recommendation #4's requiring a substantive response to the Ombudsman, the RySG notes, for purposes of clarity, that it retains the discretion to decide which information and records, if any, are 'necessary' to respond to Ombudsman requests. As such, the RySG recommends striking Recommendation #4 as the current Bylaws sufficiently require constituent bodies to

cooperate without granting the Ombudsman the unfettered ability to make unreasonable requests in what could be unreasonable time frames.

With respect to **Recommendation #11** (regarding the Ombudsman's efforts in "non-complaints work" – including involvement in policy design), the RySG has a concern about clarity.

The role of the Ombudsman is to act as a neutral dispute resolution practitioner. While the Ombudsman may accept "questions" in addition to complaints, it should be made clear that the Ombudsman does not have free rein to formally engage in policy development unless, and to the extent that, the Ombudsman is formally asked to do so by a policy development process. The RySG believes that any level of Ombudsman activity in a policy design process, if and as so requested, should be given 'as-is' without any implication of stamp-of-approval.



Submitted to: comments-ioo-recs-10nov17@icann.org.

January 12, 2018

Patrick Dodson Senior Manager, Strategic Initiatives ICANN 12025 Waterfront Drive, Suite 300 Los Angeles, CA 90094-2536

Re: <u>CCWG-Accountability Work Stream 2 (WS2) - Draft Recommendations to Improve ICANN's Office of Ombudsman</u>

Dear Mr. Dodson:

The International Trademark Association (INTA) appreciates this opportunity to comment on the Draft Recommendations to Improve ICANN's Office of Ombudsman (IOO), published on November 10, 2017 ("Recommendations"). INTA supports the published Recommendations and thanks the work of the sub group for moving the issue in the right direction.

While we generally support the recommendations, we do have specific comments regarding the efficiency and transparency of the IOO. Our concerns focus on the response times proposed in recommendation 4 and to a general question of enforcement mechanisms available to the IOO.

The current text of Recommendation 4 reads,

All relevant parts of ICANN should be required (should include the Corporation, the Board and Committees and anybody or group with democratic or delegated authority) to respond within 90 days (or 120 days with reason) to a formal request or report from the Office of the Ombudsman. The response should indicate the substantive response along with reasons. Should the responding party not be able to meet the 120 days limit due to exceptional circumstances that party can apply to the IOO to seek an additional extension prior to the expiration of the original 90 days delay. The application should be in writing, stating the nature of the exception and the expected time required to respond. The IOO will respond to such requests within a week.

While a mandatory response time is welcome and the process described above is positive, in INTA's view the response time should be significantly shortened. A lengthy process may deter members of the community from seeing assistance from the IOO. For the IOO to have a meaningful role, it must have the power to act and address issues more quickly and efficiently. INTA recommends that the response time be shortened to 60 days with a possible 30-day

extension due to exceptional circumstances. A full, fair and expeditious review of the matter at issue will go a long way strengthening the ombuds functions.

Additionally, it is unclear from the Recommendations what, if any, enforcement mechanisms are available to the IOO. In fact, there is no discussion as to whether the IOO should have any enforcement powers or mechanisms. INTA recommends that the working group examine reasonable and appropriate mechanisms of enforcement that may be delegated to the IOO. INTA recognizes that, today, the ombuds functions are not independent from ICANN org. Therefore, enforcement may be limited to what ICANN org may implement.

If enforcement mechanisms are deemed to be beyond the scope of the IOO then, at a minimum, it may be useful to map how matters resolved by the IOO may be referred to appropriate bodies for enforcement as appropriate.

Should you have any questions about our comments, I invite you to contact Lori Schulman, INTA's Senior Director of Internet Policy at 202-261-6588 or at Ischulman@inta.org.

Sincerely,

Etienne Sanz de Acedo Chief Executive Officer

About INTA and the Internet Committee

Founded in 1848, INTA is a global not-for-profit association with more than 5,700 member organizations from over 190 countries. One of INTA's goals is the promotion and protection of trademarks as a primary means for consumers to make informed choices regarding the products and services they purchase. During the last two decades, INTA has also been the leading voice of trademark owners within the Internet community, serving as a founding member of the Intellectual Property Constituency of the Internet Corporation for Assigned Names and Numbers (ICANN). INTA's Internet Committee is a group of over 150 trademark owners and professionals from around the world charged with evaluating treaties, laws, regulations and procedures relating to domain name assignment, use of trademarks on the Internet, and unfair competition on the Internet, whose mission is to advance the balanced protection of trademarks on the Internet.