ICANN | GNSO

Generic Names Supporting Organization

GNSO Review Recommendations Implementation Plan – Strawman Draft

Status of This Document

This Straw Man of an Implementation Plan has been developed by ICANN Policy Support Staff and provided for consideration by the GNSO Review Working Group.

Preamble

The Generic Names Supporting Organization (GNSO) Council adopted the Charter of the GNSO Review Working Group during its meeting on 21 July 2016. This Working Group is tasked to develop an implementation plan for the GNSO Review recommendations which were recently adopted by the ICANN Board.

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Executive Summary

On 14 April 2016 the Generic Names Supporting Organization (GNSO) Council approved a motion to adopt the GNSO Review Recommendations Feasibility and Prioritization Analysis. On 21 July 2016 the GNSO Council adopted the Charter of the GNSO Review Working Group. This Working Group is tasked to develop an implementation plan for the GNSO Review recommendations which were recently adopted by the ICANN Board.

[INSERT SUMMARY OF IMPLEMENTATION PLAN]

1. Background

The most recent GNSO review was initiated in July 2014 by ICANN with the assistance of the GNSO Review Working Party, which was comprised of GNSO community members in accordance with ICANN's Bylaws. The Organizational Effectiveness Committee (OEC) -- formerly the Structural Improvements Committee (SIC) -- of the ICANN Board is responsible for review and oversight of policies relating to ICANN's ongoing organizational review process, as mandated by ICANN's Bylaws. The ICANN Board appointed Westlake Governance as the independent examiner for the GNSO review.

Each GNSO Stakeholder Group and Constituency appointed representatives to serve on the Working Party. The GNSO Review Working Party provided input on the review criteria, 360 assessment, and served as a conduit for input from GNSO Stakeholder Groups, Constituencies as well as the GNSO Council. The GNSO Review Working Party offered guidance to the independent examiner to ensure the draft report accurately reflected the GNSO structure, scope and dynamics.

The scope of the GNSO review was to assess the extent to which the improvements resulting from the 2008 review have been implemented and whether they successfully addressed the concerns that led to the review, and to consider whether the GNSO, as it is currently constituted, can respond to its changing environment. The independent examiner was not asked to assess various options and alternatives pertaining to the structure of the GNSO, but its inquiry into the effectiveness of GNSO operations led to structural considerations. The Draft Report was put out for public comment on 01 June 2105, and subsequently Westlake published its Final Report on 15 September 2015, with a correction to Recommendation 1 issued on 5 October 2015, with 36 recommendations. The recommendations were organized into the following themes:

1. Participation & Representation;
2. Continuous Development;
3. Transparency; and
4. Alignment with ICANN's future.

The GNSO Review Working Party reviewed the recommendations and conducted a Feasibility and Prioritization Analysis, which it submitted to the GNSO Council on 28 February 2016. In its analysis document, the Working Party recommended to adopt all but three recommendations (21, 23, 32).

On 14 April 2016 the GNSO Council approved a motion to adopt the GNSO Review Recommendations Feasibility and Prioritization Analysis. In its adoption the GNSO Council amended the Feasibility and Prioritization Analysis to support the implementation of recommendation 21, to which the Working Party in turn agreed. On 21 July 2016 the GNSO Council adopted the Charter of the GNSO Review Working Group. This Working Group is tasked to develop an implementation plan for the GNSO Review recommendations which were recently adopted by the ICANN Board.

Per the GNSO Review Working Group Charter the GNSO Review Working Group is responsible for developing an implementation plan, 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 for the GNSO Review recommendations adopted by the ICANN Board (thirty-four (34) recommendations of the Final Report of the Independent Examiner (i.e. all recommendations excluding recommendations 23 and 32).

This implementation plan is to be submitted for approval to the GNSO Council, followed by consideration by the ICANN Board. Following the approval of the implementation plan, the Working Group is also expected to execute and oversee the implementation of the GNSO Review recommendations unless specified differently in the implementation plan.

The GNSO Review Working Group is also be responsible for considering any new requests[1] by the GNSO Council concerning issues related to the GNSO Council processes and procedures and to Working Group guidelines that have been identified either by the GNSO Council, or a group chartered by the GNSO Council, as needing discussion. However, the first priority of the Working Group will be the development of an implementation plan and the subsequent implementation of the GNSO Review recommendations.

The GNSO Review Working Group is expected to deliver the implementation plan to the GNSO Council for consideration at the GNSO Council meeting at ICANN57 at the latest in order to meet the Board set objective of 'an implementation plan, 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, shall be submitted to the Board as soon as possible, but no later than six (6) months after the adoption of this resolution'[2] i.e., December 2016.

2. Overview of Recommendations

The scope of the GNSO review was to assess the extent to which the improvements resulting from the 2008 review have been implemented and whether they successfully addressed the concerns that led to the review, and to consider whether the GNSO, as it is currently constituted, can respond to its changing environment. The GNSO review recommendations were organized into the following themes:

1. Participation & Representation;
2. Continuous Development;
3. Transparency; and
4. Alignment with ICANN's future.

In its evaluation of the 36 recommendations, GNSO Review Working Party evaluated them based upon several criteria:

- Ease or difficulty of implementation,
- Cost of implementation,
- Whether it is aligned with the strategic plan of the GNSO,
- Whether it impacts existing or other work,
- Whether the Working Party required additional information, and,
- Whether the recommendation was a low, medium, or high priority.

The GNSO Review Working Party reviewed the recommendations and conducted a Feasibility and Prioritization Analysis, which it submitted to the GNSO Council on 28 February 2016. In its analysis document, the Working Party recommended to adopt all but three recommendations (21, 23, 32).

On 14 April 2016 the GNSO Council approved a motion to adopt the GNSO Review Recommendations Feasibility and Prioritization Analysis. In its adoption the GNSO Council amended the Feasibility and Prioritization Analysis to support the implementation of recommendation 21, to which the Working Party in turn agreed. In June 2016 the ICANN Board of Directors approved the Final Report including 34 recommendations.

Staff have suggested the following grouping of the recommendations based on subject matter and dependencies:

- PDP Improvements, Effectiveness, and Implementation: Recommendations 8, 11, 14, 15, 16, 18, 21, and 31;
- GNSO Council, Stakeholder Group, and Constituency Appointments, Members, Membership, Statements of Interest, Procedures, and Support: Recommendations 24, 25, 26, 27, 28, 29, 30, and 33; and
- Working Group Performance, Participation, Meeting Tools, Self-Evaluation, Outreach, Volunteers, and Leadership: Recommendations 1, 2, 4, 5, 6, 9, 10, 12, 13, 17, 19, and 34.

In addition, staff suggest using the prioritization of the recommendations as proposed by the

GNSO Review Working Party, but to also simultaneously address those recommendations that it has deemed are already underway. This would then be the order of priority, with recommendations grouped within each batch by category:

1. Work already underway;
2. Agreed recommendations;
3. Agreed recommendations with modifications.

[Insert recommendation for batching of recommendations and combining into implementation project charters based on further discussion with the GNSO Review Working Group.]

3. Prioritization and Dependencies

The recommendations are in a suggested order of priority based on the guidance provided by the GNSO Review Working Party in Annex A of its report to the ICANN Board.

In addition, the recommendations are grouped by the following categories:

- PDP Improvements, Effectiveness, and Implementation: Recommendations 8, 11, 14, 15, 16, 18, 21, and 31 -- blue;

- GNSO Council, Stakeholder Group, and Constituency Appointments, Members, Membership, Statements of Interest, Procedures, and Support: Recommendations 24, 25, 26, 27, 28, 29, 30, and 33 -- brown; and

- Working Group Performance, Participation, Meeting Tools, Self-Evaluation, Outreach, Volunteers, and Leadership: Recommendations 1, 2, 4, 5, 6, 9, 10, 12, 13, 17, 19, and 34 -- magenta.

In addition, the tables include sections for dependencies, information on who will implement the recommendations, resource requirements, and budget effects. Examples include:

- **Dependencies:** list any other projects or activities that are dependent on the implementations of this recommendation or which this recommendation is dependent on. These also could include studies, metrics, and data collection.
- **Who will implement:** indicate whether staff or the community, or a combination will implement the recommendations.
- **Resource requirements:** indicate the resources required to accomplish the recommendations, include staff and volunteer considerations.
- **Budget effects:** indicate whether costs are associated with the implementation of the recommendation and in what areas, such as staff increases, translations, studies, etc.

In each of these areas staff have made suggestions to help guide the Working Group's discussion.

3.1 Work Already Underway

The suggestion is to dispatch those items that were identified by the Working Party as already underway first and simultaneously with the implementation of those recommendations identified in the first batch. As some work is already being performed and may only need minor modifications it would seem logical to address these recommendations at the same time as those identified in the first batch.

Recommendation 8	
Independent Examiner's Final Recommendation	That Working Groups should have an explicit role in responding to implementation issues related to policy they have developed.
Prioritization	High
Working Party Comments	Agree but work is already done elsewhere. The already approved Policy & Implementation Working Group recommendations cover this. Ongoing GNSO action item: ensure it happens in all future policy implementation efforts.

Council Comments	Adopted by Council as recommended by Working Party.
Status of improvement effort / staff lead	GNSO Council is overseeing implementation of final recommendations of the Policy & Implementation Working Group. Final Report: http://gnso.icann.org/en/issues/policy-implementation/pi-wg-final-recommendations-01jun15-en.pdf Workspace: http://gnso.icann.org/en/group-activities/inactive/2015/policy-implementation Staff support: Marika Konings
Dependencies	Implementation of the recommendations of the Policy & Implementation Working Group.

Recommendation 15	
Independent Examiner's Final Recommendation	That the GNSO continues current PDP Improvements Project initiatives to address timeliness of the PDP.
Prioritization	High
Working Party Comments	Already being done. GNSO action items: ensure that efforts to improve the timeliness of PDPs continue.
Council Comments	Adopted by Council as recommended by Working Party.
Status of improvement effort / staff lead	The GNSO Council, as the manager of policy development processes, oversees this ongoing effort. There is also now the possibility to create a 'expedited PDP' in place: https://gnso.icann.org/en/council/annex-4-epdp-manual-16feb16-en.pdf Staff support: Marika Konings
Dependencies	None

Recommendation 16	
Independent Examiner's Final Recommendation	That a policy impact assessment (PIA) be included as a standard part of any policy process.
Prioritization	High
Working Party Comments	Already in the PDP manual. Have no analytical framework to do this. What is being measured? Chuck: GNSO action items: i) Develop an analytical framework for assessing policy impacts; ii) determine what should be measured and corresponding metrics.
Council Comments	Adopted by Council as recommended by Working Party.
Status of improvement effort / staff lead	The GNSO Council, as the manager of policy development processes, oversees this ongoing effort; also featured in the Final Report of the Data and Metrics for Policy-Making (DMPM) Working Group DMPM Final Report: http://gnso.icann.org/en/issues/dmpm-final-09oct15-en.pdf PDP Manual: http://gnso.icann.org/en/council/annex-2-pdp-manual-16feb16-en.pdf Staff lead: Marika Konings, Steve Chan
Dependencies	Adoption of the PIA as a standard process.

Recommendation 18	
Independent Examiner's Final Recommendation	That the GNSO Council evaluate post implementation policy effectiveness on an ongoing basis (rather than periodically as stated in the current GNSO Operating Procedures); and that these evaluations are analyzed by the GNSO Council to monitor and improve the drafting and scope of future PDP Charters and facilitate the effectiveness of GNSO policy outcomes over time.
Prioritization	High
Working Party Comments	Define at the start of implementation, the assessment period is established. How should GNSO council evaluate implemented policies? Align with the Data and Metrics for Policy-Making Working Group output. Chuck: The Working Party supports this recommendation. GNSO action items: i) Change the PDP Guidelines to make post-implementation policy effectiveness evaluation an ongoing rather than a periodic process and to include an assessment period at the start of the implementation process; ii) develop guidelines for how implementation of policies should be evaluated.
Council Comments	Adopted by Council as recommended by Working Party.
Status of improvement effort / staff lead	PDP Manual prescribes in Article 17: "Periodic assessment of PDP recommendations and policies is an important tool to guard against unexpected results or inefficient processes arising from GNSO policies. PDP Teams are encouraged to include proposed timing, assessment tools, and metrics for review as part of their Final Report. In addition, the GNSO Council may at any time initiate reviews of past policy recommendations." PDP Manual: http://gnso.icann.org/en/council/annex-2-pdp-manual-16feb16-en.pdf Staff support: Marika Konings, Mary Wong
Dependencies	Align with the Data and Metrics for Policy-Making Working Group output.

Recommendation 10	
Independent Examiner's Final Recommendation	That the GNSO Council develop criteria for Working Groups to engage a professional facilitator/moderator in certain situations.
Prioritization	Medium
Working Party Comments	What does it mean to "engage"?; could be costly; develop criteria such as using an internal facilitator; should review existing pilot program already underway and that additional criteria be developed.
Council Comments	Adopted by Council as recommended by Working Party.
Status of improvement effort / staff lead	A pilot program with full-day face-to-face PDP Working Group meetings (usually the Friday before an ICANN meeting), led by a facilitator, is already in place. The GNSO Council determines which Group is selected for each meeting. Staff lead: Marika Konings

Dependencies	None

Recommendation 33	
Independent Examiner's Final Recommendation	That Stakeholder Groups, Constituencies, and the Nominating Committee, in selecting their candidates for appointment to the GNSO Council, should aim to increase the geographic, gender and cultural diversity of its participants, as defined in ICANN Core Value 4.
Prioritization	Medium
Working Party Comments	Working Party believes work is already being done but improvements/metrics need to be made in this area
Council Comments	Adopted by Council as recommended by Working Party.
Status of improvement effort / staff lead	Each Stakeholder Group and Constituency holds the lead for itself. Assistance is provided to them by the GNSO Secretariat and the GNSO policy support staff. Staff lead: Marika Konings, Glen de Saint Géry
Dependencies	Develop metrics to track improvements in diversity.

Recommendation 11	
Independent Examiner's Final Recommendation	That the face-to-face PDP Working Group pilot project be assessed when completed. If the results are beneficial, guidelines should be developed and support funding made available.
Prioritization	Medium
Working Party Comments	Has been done for two years. Need to evaluate. Chuck: GNSO action items: i) Develop guidelines; ii) encourage support funding in the ICANN budget.
Council Comments	Adopted by Council as recommended by Working Party.
Status of improvement effort / staff lead	GNSO Council oversees this assessment. Staff support: Marika Konings
Dependencies	Evaluation of the PDP Working Group pilot project.

Recommendation 14	
Independent Examiner's Final Recommendation	That the GNSO further explores PDP 'chunking' and examines each potential PDP as to its feasibility for breaking into discrete stages.
Prioritization	Medium
Working Party Comments	Allow GNSO flexibility to determine when chunking (or phases) is appropriate; needs refinement.
Council Comments	Adopted by Council as recommended by Working Party.
Status of improvement effort / staff lead	The GNSO Council, as the manager of policy development processes, oversees this ongoing effort. Ongoing broad-subject PDPs are often chunked and divided into phases and/or subgroups. In case of the PDP on Review of all RPMs in all gTLDs the phasing has even been added to the PDP Charter. RPM Charter: http://gnso.icann.org/en/drafts/rpm-charter-15mar16-en.pdf Staff lead: Marika Konings, Mary Wong
Dependencies	None.

Recommendation 24	
Independent Examiner's Final Recommendation	That the GNSO Council and Stakeholder Groups and Constituencies adhere to the published process for applications for new Constituencies. That the ICANN Board in assessing an application satisfy itself that all parties have followed the published process, subject to which the default outcome is that a new Constituency is admitted. That all applications for new Constituencies, including historic applications, be published on the ICANN website with full transparency of decision-making.
Prioritization	Medium
Working Party Comments	Some in the Working Party believe this is already being done; some disagree. If it is being done, it should be done at the beginning of the process. Regardless, the Working Party believes that this recommendation will require some due diligence on the part of the GNSO. GNSO action items: i) Determine whether new Constituency application processes are clearly posted and easily accessible, ii) determine what steps are taken to ensure compliance with those processes and whether those steps are adequate; iii) determine if all Constituency applications, including historic ones, are publicly posted along with full transparency of the decision-making process; iv) determine whether or not there is a presumption that a new Constituency should be admitted if all requirements are met and if such a presumption is appropriate; v) determine what process the Board uses to evaluate new Constituency applications and whether they are ensuring process compliance; vi) make recommendations for any modifications to the process, if any.
Council Comments	Adopted by Council as recommended by Working Party.
Status of improvement effort / staff lead	No specific owner for this project. New Constituency/Stakeholder Group application process can be found here: http://gnso.icann.org/en/about/form-new-constituency.htm
Dependencies	Completion of the action items identified above.

Recommendation 31	
Independent Examiner's Final Recommendation	That the GAC-GNSO Consultation Group on GAC Early Engagement in the GNSO Policy Development Process continue its two work streams as priority projects. As a part of its work it should consider how the GAC could appoint a non-binding, non-voting liaison to the Working Group of each relevant GNSO PDP as a means of providing timely input.
Prioritization	Medium
Working Party Comments	Ongoing work. The Working Party encourages the ongoing work of the Consultation Group and suggests that it consider whether 'the GAC could appoint a non-binding, non-voting liaison to the WG of each relevant GNSO PDP as a means of providing timely input.' GNSO action item: Send

	a letter to the GAC expressing appreciation for the work of the Consultation Group, encourage continuation of the group and ask whether it might be worthwhile for the GAC to consider appointing 'a non-binding, non-voting liaison to the WG of each relevant GNSO PDP as a means of providing timely input.' (An alternative approach here may be to first test this with the GNSO GAC liaison.)
Council Comments	Adopted by Council as recommended by Working Party.
Status of improvement effort / staff lead	GNSO Council holds the lead to send letter and coordinate with GAC. GAC-GNSO Consultation Group wiki: https://community.icann.org/x/phPRAg Staff support: Marika Konings
Dependencies	Send letter as described above to the GAC.

Recommendation 13	
Independent Examiner's Final Recommendation	That the GNSO Council evaluate and, if appropriate, pilot a technology solution (such as Loomio or similar) to facilitate wider participation in Working Group consensus-based decision making.
Prioritization	Medium
Working Party Comments	Working Party believes in continuous improvement; no specific tool is being recommended; tool must meet need that is currently not being met.
Council Comments	Adopted by Council as recommended by Working Party.
Status of improvement effort / staff lead	This is part of the wider remit of the Standing Committee on GNSO Improvements Implementation (SCI), which is managed by the GNSO Council SCI wiki: https://community.icann.org/x/5ILT Staff lead: Marika Konings, Julie Hedlund
Dependencies	GNSO Review Working Group could consider in its role as the replacement for the SCI. Some Working Groups, such as the PDP Working Group on New gTLD Subsequent Procedures, are exploring the use of Google docs for collaboration.

Recommendation 19	
Independent Examiner's Final Recommendation	As strategic manager rather than a policy body the GNSO Council should continue to focus on ensuring that a Working Group has been properly constituted, has thoroughly fulfilled the terms of its charter and has followed due process.
Prioritization	Low
Working Party Comments	Work is already being done.
Council Comments	Adopted by Council as recommended by Working Party.
Status of improvement effort / staff lead	The GNSO Council, as the manager of policy development processes, oversees this ongoing effort. Updates of each PDP are given to the GNSO Council during each ICANN meeting. A post-PDP Working Group self-assessment is undertaken and the results are forwarded to the Council.

	Staff lead: Marika Konings
Dependencies	None

Recommendation 25	
Independent Examiner's Final Recommendation	That the GNSO Council commission the development of, and implement, guidelines to provide assistance for groups wishing to establish a new Constituency
Prioritization	Low
Working Party Comments	Guidance already exist; assistance is already made available. The Working Party believes that guidance already exists and that assistance is already made available but suggests that the effectiveness and ease of finding the guidance and obtaining assistance be evaluated to see if improvements may be in order. GNSO action items: i) Evaluate the effectiveness and accessibility of guidance for new Constituency applications; ii) recommend improvements to the guidance and the available assistance as appropriate.
Council Comments	Adopted by Council as recommended by Working Party.
Status of improvement effort / staff lead	GNSO Council holds the lead for this improvement. New Constituency/SG application process can be found here: http://gnso.icann.org/en/about/form-new-constituency.htm Staff support: Marika Konings, Glen de Saint Géry
Dependencies	Overlaps with Recommendation 24

Recommendation 30	
Independent Examiner's Final Recommendation	That the GNSO develop and implement a policy for the provision of administrative support for Stakeholder Groups and Constituencies; and that Stakeholder Groups and Constituencies annually review and evaluate the effectiveness of administrative support they receive.
Prioritization	Low
Working Party Comments	First part is done, but not the second. The Working Party believes that there is already a procedure for providing some forms of administrative support to Stakeholder Groups and Constituencies but that there is not a procedure for Stakeholder Groups and Constituencies to evaluate the effectiveness of the support provided. GNSO action items: i) Identify and review the existing procedures for Stakeholder Groups and Constituencies to obtain administrative support; ii) evaluate the adequacy & effectiveness of the existing procedures including whether additional forms of support might be beneficial; iii) develop recommendations for improvements to the procedures and new types of support, if any.
Council Comments	Adopted by Council as recommended by Working Party.
Status of improvement effort / staff lead	In 2010, a formal "GNSO Toolkit" was developed by ICANN staff that clearly and specifically identified the administrative support that ICANN would provide to GNSO Stakeholder Group and Constituency

	communities. Over the next few years, in collaboration with the community, staff developed a specific set of items that would be provided under a "pilot program" by ICANN to provide additional level of admin support service to the community under staff management. In 2014, ICANN introduced a "pilot" contract secretariat program to determine if those services could be effectively and efficiently offered to ICANN community under ICANN management. The pilot effort focused on the non-contracted community, is ongoing, and will continue 2014 can be found here. Staff lead: Rob Hoggarth
Dependencies	Evaluation of the "GNSO Toolkit" and "pilot program"

3.2 Agreed Recommendations

These are the recommendations that were assessed by the Working Party as "agreed". They were considered to have agreement by the Working Party to adopt them without modification. These recommendations could be placed in the first batch to be implemented within the first year and could overlap with the implementation of those recommendations that are considered to be underway, but which might need modifications to existing procedures. The recommendations are in the order provided by the Working Party in Annex A of its report to the Board.

Recommendation 6	
Independent Examiner's Final Recommendation	That the GNSO record and regularly publish statistics on Working Group participation (including diversity statistics).
Prioritization	High
Working Party Comments	Adopt
Council Comments	Adopted by Council as recommended by Working Party.
Dependencies	Agree on definition of diversity; development of metrics; data collection
Who will Implement?	Staff
Resource Requirements	Staff resources
Budget Effects	Determine whether increased staff resources are necessary

Recommendation 26	
Independent Examiner's Final Recommendation	That GNSO Council members, Executive Committee members of Stakeholder Groups and Constituencies and members of Working Groups complete and maintain a current, comprehensive Statement of Interest on the GNSO website. Where individuals represent bodies or clients, this information is to be posted. If not posted because of client confidentiality, the participant's interest or position must be disclosed. Failing either of these, the individual not be permitted to participate.
Prioritization	High
Working Party Comments	Adopt
Council Comments	Adopted by Council as recommended by Working Party.

Dependencies	Already implemented for GNSO Council and Working Groups (Chapter 5.0 of the GNSO Operating Procedures); need to incorporate into Chapter 6.0: Stakeholder Groups and Constituencies: Operating Principles and Participation Guidelines.
Who will implement?	The community with compliance enforced by staff and the community
Resource Requirements	Staff resources
Budget Effects	Determine whether increased staff resources are necessary

Recommendation 27	
Independent Examiner's Final Recommendation	That the GNSO establish and maintain a centralized publicly available list of members and individual participants of every Constituency and Stakeholder Group (with a link to the individual's SOI where one is required and posted).
Prioritization	High
Working Party Comments	Adopt
Council Comments	Adopted by Council as recommended by Working Party.
Dependencies	Already implemented for GNSO Council and Working Groups (Chapter 5.0 of the GNSO Operating Procedures); need to incorporate into Chapter 6.0: Stakeholder Groups and Constituencies: Operating Principles and Participation Guidelines. Note overlap with Recommendation 26.
Who will implement?	The community with compliance enforced by staff and the community
Resource Requirements	Staff resources
Budget Effects	Determine whether increased staff resources are necessary

Recommendation 5	
Independent Examiner's Final Recommendation	That, during each Working Group self-assessment, new members be asked how their input has been solicited and considered.
Prioritization	Medium
Working Party Comments	Adopt
Council Comments	Adopted by Council as recommended by Working Party.
Dependencies	Modify Working Group Self-Assessment Survey
Who will Implement?	Staff
Resource Requirements	Staff resources
Budget Effects	Determine whether increased staff resources are necessary

Recommendation 17	
Independent Examiner's Final Recommendation	That the practice of Working Group self-evaluation be incorporated into the PDP; and that these evaluations should be published and used as a basis for continual process improvement in the PDP.
Prioritization	Medium
Working Party Comments	Adopt
Council Comments	Adopted by Council as recommended by Working Party.
Dependencies	Modify the PDP manual to include Working Group self-evaluation.
Who will Implement?	Staff

Resource Requirements	Staff resources
Budget Effects	Determine whether increased staff resources are necessary

Recommendation 29	
Independent Examiner's Final Recommendation	That Statements of Interest of GNSO Council Members and Executive Committee members of all Stakeholder Groups and Constituencies include the total number of years that person has held leadership positions in ICANN.
Prioritization	Medium
Working Party Comments	Adopt
Council Comments	Adopted by Council as recommended by Working Party.
Dependencies	Incorporate Chapter 5.0 of the GNSO Operating Procedures and Chapter 6.0: Stakeholder Groups and Constituencies: Operating Principles and Participation Guidelines. Note overlap with Recommendation 26 and 27.
Who will implement?	The community with compliance enforced by staff and the community
Resource Requirements	Staff resources
Budget Effects	Determine whether increased staff resources are necessary

Recommendation 12	
Independent Examiner's Final Recommendation	That ICANN assess the feasibility of providing a real-time transcription service in audio conferences for Working Group meetings.
Prioritization	Medium
Working Party Comments	Adopt – connect with work already done with ALAC.
Council Comments	Adopted by Council as recommended by Working Party.
Dependencies	Need to determine feasibility and cost
Who will Implement?	Staff
Resource Requirements	Staff resources
Budget Effects	Cost could be significant

Recommendation 1	
Independent Examiner's Final Recommendation	That the GNSO develop and monitor metrics to evaluate the ongoing effectiveness of current outreach strategies and pilot programs with regard to GNSO Working Groups.
Prioritization	Medium
Working Party Comments	Adopt – Need strategic goals, objectives, and KPIs - themes around problems that we want to solve. Should measure the shared effectiveness between ICANN and community.
Council Comments	Adopted by Council as recommended by Working Party.
Dependencies	Definition and development of metrics
Who will Implement?	Staff
Resource Requirements	Staff resources
Budget Effects	Determine whether increased staff resources are necessary

Recommendation 2	
Independent Examiner's Final Recommendation	That the GNSO develop and fund more targeted programs to recruit volunteers and broaden participation in PDP WGs, given the vital role volunteers play in Working Groups and policy development.
Prioritization	Medium
Working Party Comments	Adopt; create in-depth program should be developed; stronger volunteer drive that includes metrics to capture volunteers based on outreach efforts
Council Comments	Adopted by Council as recommended by Working Party.
Dependencies	Development of metrics to assess needs
Who will Implement?	Staff
Resource Requirements	Staff resources
Budget Effects	Determine whether increased staff resources are necessary

Recommendation 9	
Independent Examiner's Final Recommendation	That a formal Working Group leadership assessment program be developed as part of the overall training and development program.
Prioritization	Medium
Working Party Comments	Adopt; refine recommendation to note that it should develop a needs assessment for Working Group leaders.
Council Comments	Adopted by Council as recommended by Working Party.
Who will implement?	
Dependencies	Development of metrics to assess leadership/needs
Who will Implement?	Staff
Resource Requirements	Staff resources
Budget Effects	Determine whether increased staff resources are necessary

Recommendation 4	
Independent Examiner's Final Recommendation	That the GNSO Council introduce non-financial rewards and recognition for volunteers.
Prioritization	Low
Working Party Comments	Adopt; no financial rewards - such as travel funding.
Council Comments	Adopted by Council as recommended by Working Party.
Dependencies	None
Who will Implement?	Staff
Resource Requirements	Staff resources
Budget Effects	Minimal

Recommendation 28	
Independent Examiner's Final Recommendation	That section 6.1.2 Membership of Chapter 6.0 Stakeholder Groups and Constituencies: Operating Principles and Participation Guidelines of the GNSO Operating Procedures be revised to clarify that key clauses are mandatory rather than advisory, and to institute meaningful sanctions for non-compliance where appropriate.

Prioritization	Low
Working Party Comments	Adopt
Council Comments	Adopted by Council as recommended by Working Party.
Dependencies	Public comment on revisions to 6.1.2; approval by the GNSO Council
Who will implement?	The community with compliance enforced by staff and the community
Resource Requirements	Staff and community volunteer resources
Budget Effects	Minimal

Recommendation 34	
Independent Examiner's Final Recommendation	That PDP Working Groups rotate the start time of their meetings in order not to disadvantage people who wish to participate from anywhere in the world.
Prioritization	Low
Working Party Comments	Adopt; some groups already do this, but it's not a standard. Add some language to flag that this should be tested for effectiveness.
Council Comments	Adopted by Council as recommended by Working Party.
Dependencies	Test with existing Working Groups for effectiveness
Who will Implement?	Staff
Resource Requirements	Staff resources
Budget Effects	Minimal

Recommendation 21	
Independent Examiner's Final Recommendation	That the GNSO Council should regularly undertake or commission analysis of trends in gTLDs in order to forecast likely requirements for policy and to ensure those affected are well-represented in the policy-making process.
Prioritization	N/A - Low
Working Party Comments and Rationale	This recommendation is not well phrased and does not conform to what is in the Final Report; additionally, the GNSO Review Working Party does not feel that it is appropriate to implement the recommendation at this time and would be difficult to implement. We did not believe it was in scope for the GNSO to collect and analyze trend data and would be more appropriately completed elsewhere within ICANN such as in other Reviews.
Working Party Recommendation	Initially, the Working Party recommended to 'not implement' this recommendation. However, the GNSO Council changed this to 'implement with low priority', to which the Working Party agreed.
Council Comments	Adopted by Council as 'implement (low priority) in contradiction to Working Party recommendation; Working Party supported Council action. Additional feedback: The Council recommends staff working with the GNSO to institute methods of information sharing of highly relevant research related to gTLDs to help the GNSO community members increase their knowledge base and ability to analyze potential impact (low priority)". The GNSO Working Party agrees that this modification addresses its concerns with the original

	recommendation and supports the modification because if benefits the community for the GNSO to be better informed about the trends and developments in the gTLD space.
Dependencies	**Develop staff briefings:** Aiming for the GNSO to be better informed on policy discussions. GNSO should consider working with staff to ensure that adequate briefings are provided on work being done, as opposed to the GNSO undertaking or commissioning the work itself. General information about the elements of the gTLD space regardless of what PDP happens to be taking place at the time would be valuable general information and knowledge sharing for the GNSO community. **Consider recommendations of the GNSO Data and Metrics for Policy Development WG:** There is a lot of information out there which may generate empirical data that will help inform the community. Concern with the recommendation is that it effectively creates a commitment on the part of the GNSO Council, which was not supported by the study conducted by Westlake. Recommendation is not about studies to help inform PDPs, but rather to forecast the need for future PDP work. There have been a number of studies in the past that have informed PDPs. **Consider CCT-RT Data:** There is a considerable amount of data being collected to inform the CCT-RT that could serve as a baseline for future collection.
Who Will Implement?	Staff
Resource Requirements	Staff resources
Budget Effects	Minimal

3.3 Agreed Recommendations With Modifications

These are the recommendations that were assessed by the Working Party as "agreed with modifications". They were considered to have agreement by the Working Party to adopt them, but with some modifications. These recommendations could be placed in the second batch to be implemented within the second to third years and could overlap with the implementation of the first batch. The recommendations are in the order provided by the Working Party in Annex A of its report to the Board.

Recommendation 35	
Independent Examiner's Final Recommendation	That the GNSO Council establish a Working Group, whose membership specifically reflects the demographic, cultural, gender and age diversity of the Internet as a whole, to recommend to Council ways to reduce barriers to participation in the GNSO by non- English speakers and those with limited command of English.
Prioritization	Medium
Working Party Comments	The metrics used to measure diversity should be specified with more consideration to what can actually be defined and measured.

Working Party Recommendation	That the GNSO Council establish a Working Group to recommend ways to reduce barriers to participation by non-English speakers and those with limited command of English. To the extent practicable, the members of the Working Group should be diverse and reflect demographic, cultural, gender and age diversity.
Council Comments	Adopted by Council as recommended by Working Party.
Dependencies	**Develop and Gather Metrics:** Metrics needed at Stakeholder Group/Constituency, Working Group, and Council levels on what people feel are the key metrics that matter on supporting diversity commitment. **Data Storage Considerations:** How would the data be stored? Under what privacy policy? **Feasibility of Real-Time Translation:** So long as PDP calls are in English and convenient to specific time zones, current meeting procedures and tools may discourage diverse participation. Actions such as translations of calls need to be put in place to encourage diverse participation. Dependencies with Recommendations 6 and 33; 12 (re: real-time translation); and also possibly 1.
Who will implement?	GNSO Council with staff support
Resource Requirements	Staff and community volunteer resources
Budget Effects	Depends on level of data collection and also cost of real time translation

Recommendation 3	
Independent Examiner's Final Recommendation	That the GNSO Council reduce or remove cost barriers to volunteer participation in Working Groups.
Prioritization	Medium
Working Party Comments	Overlap with other recommendations; GNSO Council should not determine how finances are allocated to Working Group members; what are cost barriers (time and costs)?; training (wiki for example); identify cost barriers.
Working Party Recommendation	That the GNSO Council reduce time barriers to volunteer participation and consider ways enhance participation remotely without the need for travel expenditures.
Council Comments	Adopted by Council as recommended by Working Party.
Dependencies	Overlap with recommendations 1, 2, 7, 12, and 34; feasibility of implementation and costs
Who will Implement?	Staff
Resource Requirements	Staff resources
Budget Effects	Costs could be significant

Recommendation 7	
Independent Examiner's Final Recommendation	That Stakeholder Groups and Constituencies engage more deeply with community members whose first language is other than English, as a means to overcoming language barriers.
Prioritization	Medium

Working Party Comments	Include summaries in multiple languages; combine with other similar recommendations; further discussions with representatives from Stakeholder Groups and Constituencies together and see what needs are before the Working Party makes a recommendation.
Working Party Recommendation	That Stakeholder Groups and Constituencies strive to overcome language barriers by participating in the WG established under Recommendation 35.
Council Comments	Adopted by Council as recommended by Working Party.
Dependencies	Rewording may need to be adjusted as it refers to the Working Group mentioned under recommendation 35, which was deemed impractical during feedback. Consultation with Stakeholder Groups and Constituencies
Who will implement?	Stakeholder Groups and Constituencies
Resource Requirements	Community volunteer and staff resources
Budget Effects	Depends on the solution; costs could be high

Recommendation 20	
Independent Examiner's Final Recommendation	That the GNSO Council should review annually ICANN's Strategic Objectives with a view to planning future policy development that strikes a balance between ICANN's Strategic Objectives and the GNSO resources available for policy development.
Prioritization	Low
Working Party Comments	Modify recommendation - input from GNSO should go into the Strategic Planning process.
Working Party Recommendation	That the GNSO Council should participate in developing ICANN's Strategic Objectives and plan future policy development that aligns the Strategic Objectives with GNSO resources.
Council Comments	Adopted by Council as recommended by Working Party.
Dependencies	None
Who Will Implement?	GNSO Council
Resource Requirements	GNSO Council resources
Budget Effects	Minimal

Recommendation 36	
Independent Examiner's Final Recommendation	That, when approving the formation of a PDP Working Group, the GNSO Council requires that its membership represent as far as reasonably practicable the geographic, cultural and gender diversity of the Internet as a whole. Additionally, that when approving GNSO Policy, the ICANN Board explicitly satisfy itself that the GNSO Council undertook these actions when approving the formation of a PDP Working Group.
Prioritization	Low
Working Party Comments	Reword recommendation so that it corresponds to the process that Council goes through in terms of approving a PDP, forming a working group, etc. and that Council review accomplishment toward achieving diversity and proper representation of all stakeholders; begin data collection as soon as possible. The metrics

	used to measure diversity should be specified with more consideration to what can actually be defined and measured.
Working Party Recommendation	That, when approving the formation of a PDP Working Group, the GNSO Council strive for its membership to be diverse and reflect demographic, cultural, gender and age diversity. When approving GNSO Policy, the Board should take into consideration if reasonable measures were taken to achieve such diversity.
Council Comments	Adopted by Council as recommended by Working Party.
Dependencies	Definition of diversity; overlaps with recommendation 6.
Who will Implement?	GNSO Council and ICANN Board
Resource Requirements	None
Budget Effects	Minimal

Recommendation 22	
Independent Examiner's Final Recommendation	That the GNSO Council develop a competency-based framework, which its members should use to identify development needs and opportunities.
Prioritization	Low
Working Party Comments	Reword recommendation: develop a framework to identify training needs for PDPs so that members have appropriate skills and background to participate effectively in the PDP. This training is not intended to address technical issues.
Working Party Recommendation	That the GNSO Council develop a technical competency-based expectation of its members and provide training on the PDP.
Council Comments	Adopted by Council as recommended by Working Party.
Dependencies	None
Who will implement?	GNSO Council and staff
Resource Requirements	GNSO Council and staff resources
Budget Effects	Depends on the training options

4. Methodology

ICANN has developed project plan charter templates for implementing recommendations. These were originally developed for the ATRT2 implementation, but can easily be applied to the implementation of the GNSO Review recommendations. This format follows best practices under project management principles and guidelines and is a standard practice that ICANN is using across all implementations. Keep in mind that since there are 34 recommendations it is not necessary to create a project plan for each recommendation. Rather, several recommendations could be combined into one project charter plan. See the template in Annex 1 below.

The GNSO Review Recommendation Charter recognizes the existence of a project and supports the decision to further refine the project solution.   This charter signifies consensus on the vision, scope, authority and overall deliverables of the project.
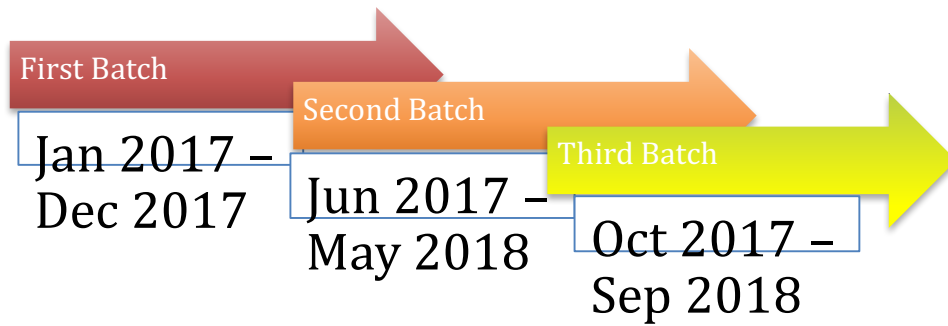
The template includes the following details:

- Recommendation Team;
- Background;
- Alignment with ICANN's Strategic Objectives;
- Scope, assumptions, and deliverables;
- Solution analysis: options and proposed solution;
- Key dependencies;
- Risk identification; and
- Key performance indicators.

[further description to be provided after consultation with GNSO Review Working Group]

5. Timeline

[Placeholder timeline. Revise based on discussions with GNSO Review Working Group]

First Batch

Jan 2017 –
Dec 2017

Second Batch

Jun 2017 –
May 2018

Third Batch

Oct 2017 –
Sep 2018

ANNEX 1: GNSO Review Recommendation Charter

DOCUMENT PURPOSE: The GNSO Review Recommendation Charter recognizes the existence of a project and supports the decision to further refine the project solution.   This charter signifies consensus on the vision, scope, authority and overall deliverables of the project.

PROJECT PURPOSE: The purpose of this project is to implement GNSO Review Recommendation(s) #XX.

Note – multiple projects may be needed to implement one recommendation. If this case, state this explicitly in the "project purpose" above.   E.g. Three distinct projects will be completed in order to implement the full scope of this recommendation.   This is first of the three with the other two being;   XXXX and XXXXX.   This note should be deleted from the final project charter.

RECOMMENDATION IDENTIFICATION

RECOMMENDATION TEAM		
Recommendation Name	**Recommendation Number**	**Date**
Project Sponsor	**Project Owner**	
Project Manager	**Cross Functional Departments Involved**	

RECOMMENDATION BACKGROUND
Recommendation Background – historical information that relates to this project

STRATEGIC ALIGNMENT	
Part One – Which ICANN Objective does this meet	
Alignment with Strategic Objectives	
Goal	
Portfolio	
Project/Recommendation	

SCOPE DESCRIPTION CHARACTERISTICS OF THE PRODUCT OR SERVICE THAT THE PROJECT IS TO OPERATIONALIZE
Scope Statement – What work needs to be completed during the project

Recommendation #XX, as directed by the Board (link to Board Resolution). Recommendation states:

Summarize the spirit of the recommendation as interpreted by the team. Indicate why this approach was chosen.

List the scope of the work to be completed during this project in order to implement this recommendation

Out of Scope – Implied project work that will not be part of the project

Assumptions – What assumptions have been made regarding the implementation of the project

Deliverables – What will be delivered at the end of the project

OPTION ANALYSIS - THE ALTERNATIVE SOLUTIONS THAT WERE CONSIDERED

List all approaches considered and why they were not chosen

PROPOSED SOLUTION – "TO BE" SITUATION; THE SOLUTION TO THE BUSINESS NEED

List what it looks like when this project moves from implementation to operationalization
List the triggers that will move this recommendation to operationalization

KEY DEPENDENCIES – KEY DEPENDENCIES NEEDED TO MEET PROJECT OBJECTIVES

RISK IDENTIFICATION – FACTORS THAT MAY HAVE A NEGATIVE IMPACT ON THE PROJECT

KEY PERFORMANCE INDICATORS – WHAT TO MEASURE BEFORE AND AFTER OPERATIONALIZATION

NECESSARY TO PROCEED

Next Phase Activities/Resources

APPROVERS			
Name	**Title**	**Approval Status**	**Date**

REVIEWERS		
Name	**Title**	**Date Sent**

REVISION HISTORY			
Date	**Version**	**Description**	**Author**

Attachments, as applicable:

- None