



# CCWG – Accountability

## Workstream 2 – Activity Dashboard\*

### April 2017

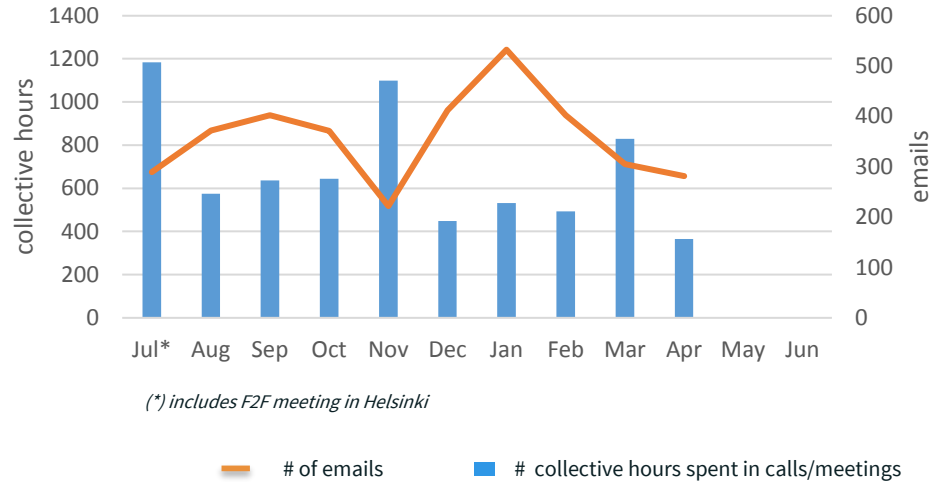
*(\*) Produced on behalf of the CCWG, and approved by the CCWG co-chairs. All status updates found in this report are provided by subgroups rapporteurs. Statistics are based on data available from the WS2 wiki.*

# WS2 overall report

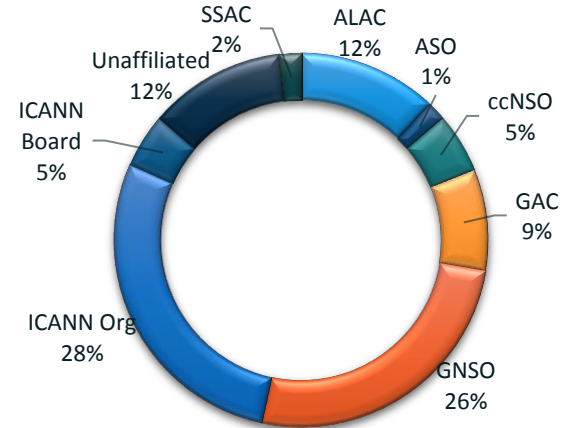
# WS2 Monthly Activity Update

Reporting Period:  
APRIL 17

## Monthly Activity (plenaries & subgroups):



## Monthly Participation by Affiliation:



## Overall Timeline\*:





















Based on data available from the WS2 wiki – this is a high level summary of the work underway. (\*) work plans may vary by subgroups.

Updated on  
09 May 17

# Subgroups Progress Update






Progress:  46%

Reporting Period:  
**APRIL 17**

Topic	Meetings this month	Progress	Status	Updates	Focus / Concerns / Risks
Transparency	1	 75% (+ 5 %)		<ul style="list-style-type: none"> <li>Public Comment period closed on 10 Apr 17.</li> <li>Analyzing public comments received.</li> </ul>	
Guidelines for Good Faith...	1	 75% (+ 5 %)		<ul style="list-style-type: none"> <li>Public Comment Period closed on 24 Apr 17</li> <li>Analyzing public comments received.</li> </ul>	
SO/AC Accountability	0	 70% (+ 10 %)		<ul style="list-style-type: none"> <li>Recommendations have been posted for Public Comments.</li> </ul>	<ul style="list-style-type: none"> <li>Public Comment Period: 14 Apr – 26 May 17</li> </ul>
Human Rights	1	 60% (+20 %)		<ul style="list-style-type: none"> <li>CCWG Plenary approved subgroup's recommendations for Public Comments.</li> </ul>	<ul style="list-style-type: none"> <li>Public Comment Period to be announced</li> </ul>
Staff Accountability	3	 30% (+ 0 %)		<ul style="list-style-type: none"> <li>Provisional <a href="#">list of systemic issues</a> shared with CCWG-Plenary.</li> <li>Development of solutions commenced.</li> </ul>	<ul style="list-style-type: none"> <li>On-going efforts to include staff in work.</li> <li>Awaiting further information on HR processes.</li> </ul>
Diversity	4	 35% (+ 5 %)		<ul style="list-style-type: none"> <li>Subgroup awaiting responses to its <a href="#">questionnaire</a> to SOACs for their input on diversity (by June 01).</li> <li>Continuing its work on a set of recommendations which it hopes to present to the plenary at ICANN 59.</li> </ul>	<ul style="list-style-type: none"> <li>Discuss timeline / ability to deliver by June?</li> </ul>
Ombuds Office	2	 25% (+ 0 %)		<ul style="list-style-type: none"> <li>Reviewer conducted survey and ran last interviews.</li> </ul>	<ul style="list-style-type: none"> <li>Coordination with other sub-groups (Transp., Staff Account., H.Rights, Div., SO/AC Account.)</li> <li>A new timeline needs to be setup.</li> </ul>
Review of the CEP	0	 25% (+ 0 %)		<ul style="list-style-type: none"> <li>Compiled interviews notes from interviews conducted in Copenhagen.</li> <li>Two final interviews are being scheduled.</li> </ul>	<ul style="list-style-type: none"> <li>Two final interviews are being scheduled.</li> <li>Proposed principles to be drafted as a result of the interviews conducted.</li> </ul>
Jurisdiction	4	 20% (+ 5 %)		<ul style="list-style-type: none"> <li>Questionnaire to collect factual inputs closed on April 17.</li> <li>Received and analyzed response from ICANN Legal. Follow-up questions are being drafted.</li> <li>A revised work plan was presented to the Plenary.</li> </ul>	<ul style="list-style-type: none"> <li>Review and evaluate questionnaire responses.</li> <li>Continue review and summaries of ICANN litigations.</li> </ul>



Based on data available from the WS2 wiki – this is a high level summary of the work underway

 On-track  
  On-track (revised schedule)  
  Behind schedule, but recovery still possible  
  Target will be missed  
  Completed

# Plenary Reviews and Public Comment Periods Schedule

	CCWG Plenary 1 <sup>st</sup> reading	CCWG Plenary 2 <sup>nd</sup> reading	Public Comments
Jurisdiction (Questionnaire)	✓ 12/14/16	✓ 01/11/17	✓ <a href="#">02/09/17 – 04/17/17</a> (closed)
Transparency	✓ 01/11/17	✓ (02/08/17)	✓ <a href="#">02/21/17 – 04/10/17</a> (closed)
Good Faith Conduct	✓ (02/08/17)	✓ (02/22/17)	✓ <a href="#">03/07/17 – 04/24/17</a> (closed)
SO/AC Accountability	✓ 03/10/17	✓ 03/29/17	<a href="#">04/14/17 – 05/26/17</a> (open)
Diversity (Questionnaire)	✓ 03/10/17	✓ 03/29/17	<a href="#">04/21/17 – 06/01/17</a> (open)
Human Rights	✓ 04/12/17	✓ 04/26/17	<a href="#">05/05/17 – 06/16/17</a> (open)
Staff Accountability	May (tbc)	TBD	TBD
Ombudsman	TBD	TBD	TBD
Review of the CEP	TBD	TBD	TBD
Jurisdiction	TBD	TBD	TBD

*TBD: to be determined*  
*tbc: to be confirmed*

# WS2 Budget Update

Reporting Period: January 2017 YTD – Eight months  
(July 1, 2016 – March 31, 2017)

Amounts in USD Thousands (000s)	March 2017 YTD - Nine months July 1, 2016 - March 31, 2017							YTD Committed Expense	Subtotal YTD Actual plus Committed	% Spend To-Date	2017 Budget Remaining
	Staff	Travel & Meetings	Telecom & Language Support	Legal Services	US Gov't Affairs (Lobbying)	Other Professional Services	Total				
<b>Cross Community Working Group Support</b>											
IRP Phase 2	\$ -	\$ -	\$ -	\$ 155	\$ -	\$ -	\$ 155	\$ -	\$ 155	30%	\$ 364
Accountability WS2	-	87	-	-	-	-	87	-	87	5%	1,813
<b>Total Costs - Cross Community Working Group Support</b>	-	87	-	155	-	-	242	-	242	10%	2,176
<b>ICANN Support</b>											
IRP Phase 2	-	-	-	26	-	-	26		26	6%	374
Accountability WS2	496	34	13	9	-	233	785		785	66%	396
Transition Implementation	587	24	9	1,623	-	693	2,936		2,936	81%	710
General Project Activities	651	8	-	-	255	51	964		964	83%	200
<b>Total Costs - ICANN Support</b>	1,733	66	22	1,658	255	976	4,711	-	4,711	74%	1,680
<b>Total IANA Transition Project</b>											
IRP Phase 2	-	-	-	181	-	-	181		181	20%	738
Accountability WS2	496	121	13	9	-	233	873		873	28%	2,209
Transition Implementation	587	24	9	1,623	-	693	2,936		2,936	81%	710
General Project Activities	651	8	-	-	255	51	964		964	83%	200
<b>Total Costs - IANA Transition Project</b>	1,733	153	22	1,813	255	976	4,953	-	4,953	56%	3,857

Total Budget by Cost Category	\$ 2,708	\$ 552	\$ 830	\$ 3,330	\$ 250	\$ 1,140	\$ 8,810
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% Spend To-Date vs. Budget by Cost Category	64%	28%	3%	54%	102%	86%	56%
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## F2F Meeting (ICANN58):

# of airmiles funded: 7  
# of hotel nights: 27  
# per diems: 27

# of participants: xx  
• on-site: xx  
• remote: xx

## Notes:

- Total spend after 9 months represents 56% of annual budget as compared to a year-to-date budget of 67%.
- Community Support represents 10% of the budget due to delays in WS2 activities. Spend year to date represents legal analyses supporting the IRP work and community travel expenses for the CCWG meeting at ICANN meetings.
- ICANN Support represented 74% of the annual spend after 9 months, with a majority of the spend related to the Transition implementation work for the NTIA contract expiration.



Based on data available from the WS2 wiki – this is a high level summary of the work underway .

Updated on  
09 May 17

# Subgroups Reports

# Transparency

Reporting Period:  
APRIL 17

Progress:  75%

Status: On-track

## Updates:

- [Public Comment](#) period closed on 10 Apr 2017.
- Subgroup started the analysis of public comments received.

## Upcoming Activities:

- Subgroup will reconvene over the next few weeks to assess changes to be made to the recommendations in light of the public comments filed.

## Open Items:

**Rapporteurs:** Chris Wilson, Michael Karanicolas

**# of signed-up Active Participants:** 34

**# of signed-up Observers:** 28

## Useful links:

- [Wiki](#)
- [Mailing List archive](#)
- [Meetings schedule](#)

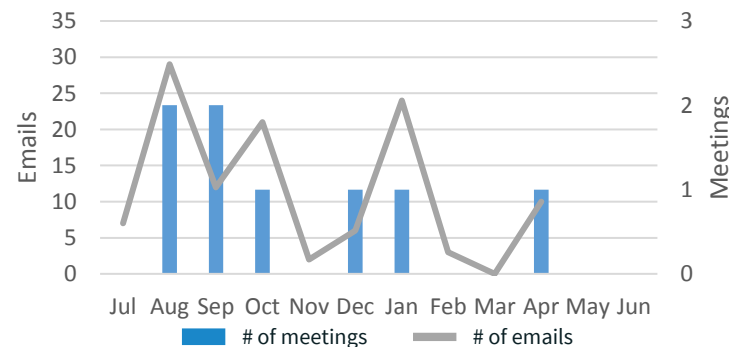
## Description / Scope:

Our research focuses on the following three areas:

1. Enhancements to ICANN's existing Documentary Information Disclosure Policy (DIDP).
2. Proactive Disclosure Policies (including interactions with governments and Board deliberations).
3. Improvements to the existing whistleblower policy.

## Activity:

Total # of meetings:	8
Total # of emails:	114
Collective hours on calls:	140



## Work Plan:

Start work	Aug	✓
Document questions to answer	Sep	✓
Document work to do	Oct	✓
Produce draft for subgroup	Nov-Jan	✓
Produce draft for CCWG	Feb	✓
Produce draft for PC	March	✓
Public Comment	Apr	✓
Revise draft	May	
CCWG approval	Jun	



Based on data available from the WS2 wiki – this is a high level summary of the work underway .

- On-track
- ▲ Behind schedule, but recovery still possible

- Not started
- Target will be missed
- Completed

Updated on  
09 May 17



# Guidelines for Good Faith Conduct

Reporting Period:  
APRIL 17

Progress:  75%

Status: On-track

## Updates:

- Public Comment period closed on 24 Apr 17.
- Subgroup started the analysis of public comments received.

## Upcoming Activities:

- Continue analysis of public comments, and assess changes to be made to the recommendations in light of the public comments filed.

## Open Items:

**Rapporteurs:** Lori Schulman

**# of signed-up Active Participants:** 12

**# of signed-up Observers:** 18

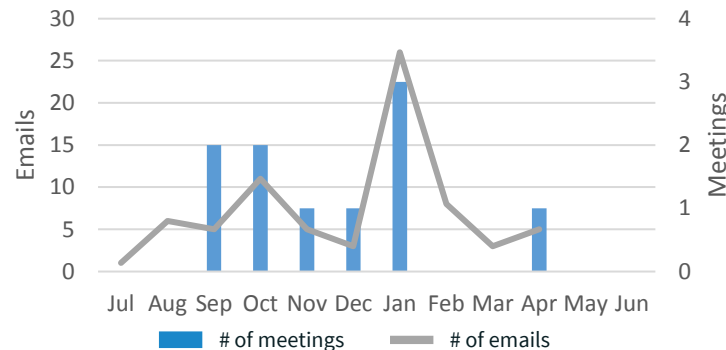
## Useful links:

- [Wiki](#)
- [Mailing List archive](#)
- [Meetings schedule](#)

**Description / Scope:** Decisional Participants of the Empowered Community (EC) have the right to appoint and remove individual Directors. In the event that a Decisional Participant endeavors to remove an individual board member, his actions are indemnified provided the Decisional Participant has acted in “good faith”. The purpose of this sub-team is to draft guidelines for conduct that would be considered good faith actions on the part of the Decisional Participants in order for the indemnification to apply.

## Activity:

Total # of meetings:	10
Total # of emails:	73
Collective hours on calls:	113



## Work Plan:

Start work	Aug	✓
Document questions to answer	Mid-Sep	✓
Document work to do	Sep	✓
Produce draft for subgroup	Oct	✓
Produce draft for CCWG	Feb	✓
Produce draft for PC	March	
Public Comment	Apr	
Revise draft	May	
CCWG approval	June	



Based on data available from the WS2 wiki – this is a high level summary of the work underway .

- On-track
- ▲ Behind schedule, but recovery still possible

- Not started
- Target will be missed
- Completed

Updated on  
09 May 17

# SO/AC Accountability

Reporting Period:  
APRIL 17

Progress:  70%

Status: On-track

## Updates:

- Recommendations have been posted for Public Comments.

## Upcoming Activities:

- [Public Comment Period](#): 14 Apr – 26 May 17

## Open Items:

**Rapporteurs:** Cheryl Langdon-Orr, Farzaneh Badii, Steve DelBianco

**# of signed-up Active Participants:** 41

**# of signed-up Observers:** 40

### Useful links:

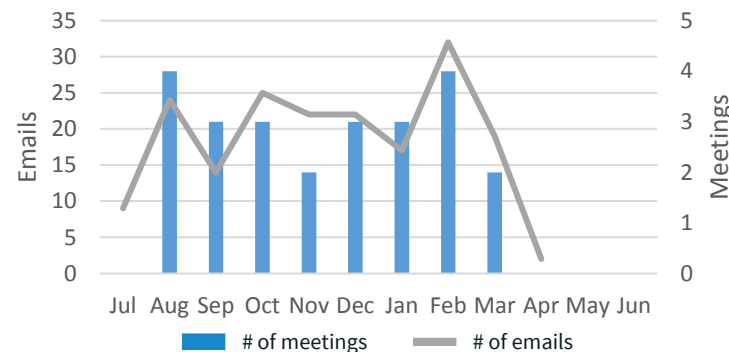
- [Wiki](#)
- [Mailing List archive](#)
- [Meetings schedule](#)

**Description / Scope:** Survey, Analyze, Assess and Recommend any Improvements to ICANN’s SO and AC Accountability.

- Track 1: Review and develop recommendations to improve SO/AC processes for accountability, transparency, & participation that are helpful to prevent capture.
- Track 2: Evaluate the proposed “Mutual Accountability Roundtable” to assess its viability and, if viable, undertake the necessary actions to implement it.
- Track 3: Assess whether the IRP would also be applicable to SO & AC activities.

## Activity:

Total # of meetings:	24
Total # of emails:	186
Collective hours on calls:	438



## Work Plan:

Start work	Aug	✓
Document questions to answer	Sep	✓
Document work to do	Oct	✓
Produce draft for subgroup	Nov-Jan	✓
Produce draft for CCWG	Feb	✓
Produce draft for PC	March	✓
Public Comment	Apr	
Revise draft	May	
CCWG approval	Jun	



Based on data available from the WS2 wiki – this is a high level summary of the work underway .

- On-track
- Behind schedule, but recovery still possible

- Not started
- Target will be missed
- Completed

Updated on  
09 May 17

# Human Rights

Reporting Period:  
APRIL 17

Progress:  60%

Status: on-track

## Updates:

- CCWG Plenary approved subgroup's recommendations for Public Comments.

## Upcoming Activities:

- Public Comment Period to be announced

## Open Items:

**Rapporteurs:** Niels ten Oever

**# of signed-up Active Participants:** 71

**# of signed-up Observers:** 53

## Useful links:

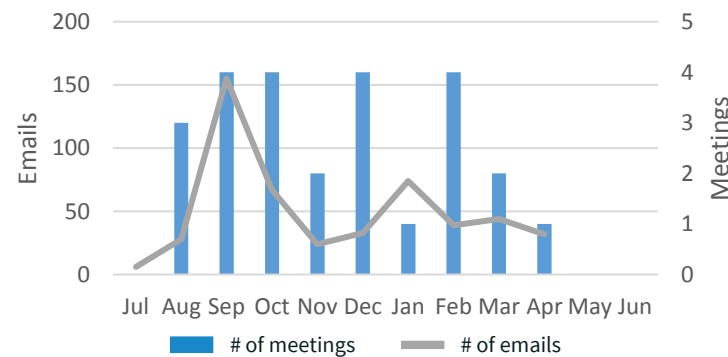
- [Wiki](#)
- [Mailing List archive](#)
- [Meetings schedule](#)

## Description / Scope:

Develop a framework of interpretation for human rights bylaw, ("FOI-HR"), which was adopted in Work Stream 1.  
(Bylaws Section 1.2(b)(viii) )

## Activity:

Total # of meetings:	25
Total # of emails:	502
Collective hours on calls:	699



## Work Plan:

Start work	Aug	✓
Document questions to answer	Sep	✓
Document work to do	Oct	✓
Produce draft for subgroup	Nov-Mar	✓
Produce draft for CCWG	Apr	✓
Produce draft for PC	May	
Public Comment	May/June	
Revise draft	June	
CCWG approval	June	



Based on data available from the WS2 wiki – this is a high level summary of the work underway .

- On-track
- ▲ Behind schedule, but recovery still possible

- Not started
- Target will be missed
- Completed

Updated on  
09 May 17

# Staff Accountability

Reporting Period:  
APRIL 17

Progress:  30%

Status: on-track

## Updates:

- Provisional [list of systemic issues](#) found with staff accountability shared with CCWG-Plenary, seeking feedback and validation.
- Development of solutions commenced.

## Upcoming Activities:

- Development of “solutions” to the “issues”.

## Open Items:

- Awaiting further information on HR processes from ICANN Org.
- On-going discussion with ICANN Org in order to include a number of senior staff members in the workgroup.
- Completing the documents in time for mid-May plenary readings will require quick work in the first part of the month.

**Rapporteurs:** Avri Doria, Jordan Carter

**# of signed-up Active Participants:** 24

**# of signed-up Observers:** 18

## Useful links:

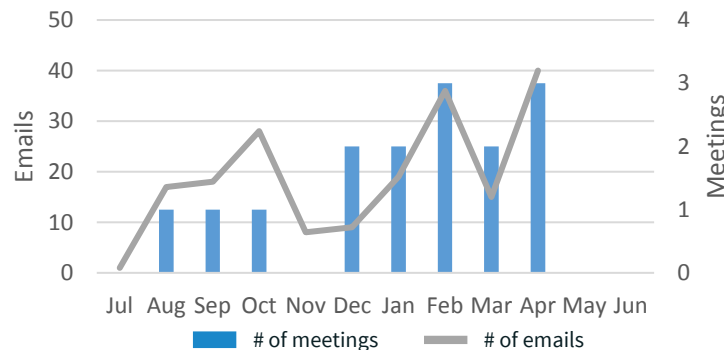
- [Wiki](#)
- [Mailing List archive](#)
- [Meetings schedule](#)

**Description / Scope:** (Annex 12 from CCWG report & ATRT 9.3, 9.4)

- Describe the role of ICANN staff vis-à-vis the ICANN Board and the ICANN community.
- Consider a Code of Conduct, transparency criteria, training, and KPIs to be followed by staff in relation to their interactions with all stakeholders .
- Establish regular independent (internal and community) surveys and audits to track progress and identify areas that need improvement, and establish appropriate processes to escalate issues.

## Activity:

Total # of meetings:	15
Total # of emails:	191
Collective hours on calls:	168



## Work Plan:

Task	Month	Status
Start work	Aug	✓
Document questions to answer	Sep	✓
Document work to do	Oct	✓
Produce draft for subgroup	Nov-Apr	
Produce draft for CCWG	May	
Produce draft for PC	May	
Public Comment	June	
Revise draft	July	
CCWG approval	July	



Based on data available from the WS2 wiki – this is a high level summary of the work underway .

- On-track
- ▲ Behind schedule, but recovery still possible

- Not started
- Target will be missed
- Completed

Updated on  
09 May 17

## Updates:

- Subgroup awaiting responses to its [questionnaire](#) to SOACs for their input on diversity (by June 01).
- Continuing its work on a set of recommendations which it hopes to present to the plenary at ICANN 59.
- Live interpretation is currently being provided on all Diversity calls in Spanish, French and English.

## Upcoming Activities:

- Finalize a second version of the initial report:
  - resolving pending questions,
  - focusing on the recommendations section.
- Discuss timeline / ability to deliver by June?

## Open Items:

**Rapporteurs:** Fiona Asonga, Rafik Dammak

**# of signed-up Active Participants:** 51

**# of signed-up Observers:** 43

## Useful links:

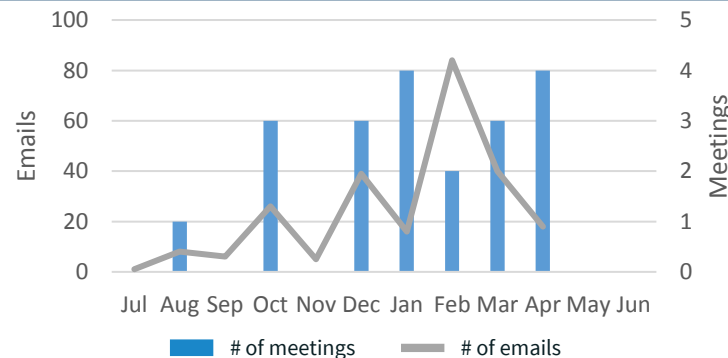
- [Wiki](#)
- [Mailing List archive](#)
- [Meetings schedule](#)

## Description / Scope:

With reference to recent discussion the group is looking at diversity mechanisms that enhance accountability within ICANN (Leadership, staff and community).

## Activity:

Total # of meetings:	20
Total # of emails:	243
Collective hours on calls:	394



## Work Plan:

Start work	Aug	✓
Document questions to answer	Sep	✓
Document work to do	Oct	✓
Produce draft for subgroup	Apr	✓
Produce draft for CCWG	Jun	
Produce draft for PC	After ICANN59	
Public Comment	TBD	
Revise draft	TBD	
CCWG approval	TBD	

### Updates:

- External Review of the IOO (by Cameron Ralph LLC):
  - Conducted survey.
  - Ran last interviews.
- Working on a revised timeline.

### Upcoming Activities:

- External Review of the IOO (by Cameron Ralph LLC):
  - Produce a draft report within next few weeks.
- Subgroup following the external review of the IOO.

### Open Items:

- Coordination with other sub-groups:
  - Transparency
  - Staff Accountability
  - Human Rights
  - Diversity
  - Accountability SO/AC
- A new timeline needs to be setup (extending after ICANN 59).

**Rapporteurs:** Sebastien Bachollet

**# of signed-up Active Participants:** 23

**# of signed-up Observers:** 22

### Useful links:

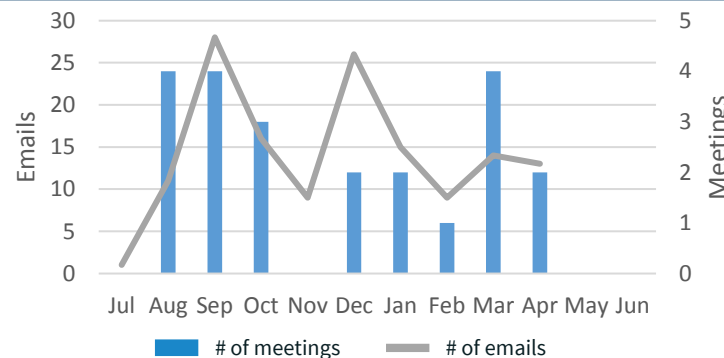
- [Wiki](#)
- [Mailing List archive](#)
- [Meetings schedule](#)

### Description / Scope:

Evaluate the current Ombudsman charter and operations against industry best practices and recommend any changes necessary to ensure that the ICANN Ombuds Office (IOO) has the tools, independence, and authority needed to be an effective voice for ICANN stakeholders.

### Activity:

Total # of meetings:	22
Total # of emails:	142
Collective hours on calls:	296



### Work Plan:

Task	Month	Status
Start work	Aug	✓
Document questions to answer	Sep	✓
Document work to do	Oct	✓
Produce draft for subgroup	Nov-Jan	
Produce draft for CCWG	Feb	
Produce draft for PC	March	
Public Comment	Apr	
Revise draft	May	
CCWG approval	Jun	

# Review of the CEP

Reporting Period:  
APRIL 17

Progress:  25%

Status: Behind

## Updates:

- Compiled interviews notes from interviews conducted in Copenhagen.
- Two final interviews are being scheduled.

## Upcoming Activities:

- Conduct final interviews.
- Draft proposed principles as a result of the interviews conducted.

## Open Items:

**Rapporteurs:** Edward Morris

**# of signed-up Active Participants:** 18

**# of signed-up Observers:** 12

## Useful links:

- [Wiki](#)
- [Mailing List archive](#)
- [Meetings schedule](#)

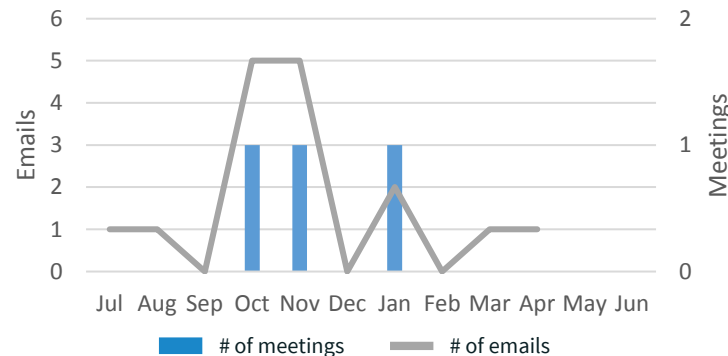
## Description / Scope:

The CEP is a voluntary process available prior to the filing of a request for Independent Review.

This subgroup is charged with reviewing Bylaws provisions relating to the CEP and with constructing the CEP Rules, per ICANN Bylaws §4.3(e)(i).

## Activity:

Total # of meetings:	3
Total # of emails:	16
Collective hours on calls:	29



## Work Plan:

Task	Target Month	Status
Start work	Oct	✓
Document questions to answer	Oct	
Document work to do	Oct	
Produce draft for subgroup	Nov-Jan	
Produce draft for CCWG	Feb	
Produce draft for PC	March	
Public Comment	Apr	
Revise draft	May	
CCWG approval	Jun	



Based on data available from the WS2 wiki – this is a high level summary of the work underway .

- On-track
- ▲ Behind schedule, but recovery still possible

- Not started
- Target will be missed
- Completed

Updated on  
09 May 17

# Jurisdiction

Reporting Period:  
**APRIL 17**

Progress:  20%

Status: on-track (revised schedule)

## Updates:

- Questionnaire to collect factual inputs closed on April 17.
- ICANN's current and past litigations are being reviewed and summarized by a small group, using a standard summary tool.
- Received and analyzed response from ICANN Legal. Follow-up questions are being drafted.
- A revised work plan and schedule was drafted and presented to the Plenary.

## Upcoming Activities:

- Review and evaluate questionnaire responses.
- Continue review and summaries of ICANN litigations.
- Finalize follow-up questions to ICANN Legal.

## Open Items:

- Continue to identify advice needed from ICANN legal, outside counsel or other experts.

**Rapporteurs:** Greg Shatan, Vinay Kesari

**# of signed-up Active Participants:** 68

**# of signed-up Observers:** 45

## Useful links:

- [Wiki](#)
- [Mailing List archive](#)
- [Meetings schedule](#)

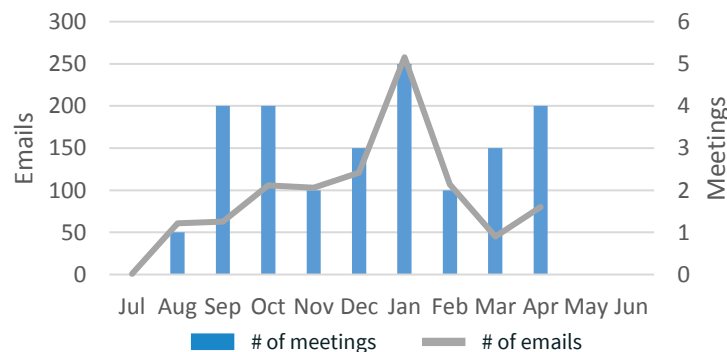
## Description / Scope: (Based on Annex 12)

Main issues relate to influence of ICANN's existing jurisdiction on the actual operation of policies and accountability mechanisms, primarily disputes involving ICANN, i.e., "choice of law" and "venue", but not necessarily the place of ICANN incorporation. This focus should include:

- Confirming and assessing the gap analysis, clarifying all concerns regarding the multi-layer jurisdiction issue.
- Identifying potential alternatives and benchmarking their ability to match all CCWG-Accountability requirements using the current framework.

## Activity:

Total # of meetings:	28
Total # of emails:	945
Collective hours on calls:	717



## Work Plan:

Start work	Aug	✓
Document questions to answer	Sep	✓
Document work to do	Apr	✓
Prepare discussion draft for CCWG	Jun	
Produce draft for CCWG	After ICANN59	
Produce draft for PC	TBD	
Public Comment	TBD	
Revise draft	TBD	
CCWG approval	TBD	



Based on data available from the WS2 wiki – this is a high level summary of the work underway .

- On-track
- ▲ Behind schedule, but recovery still possible

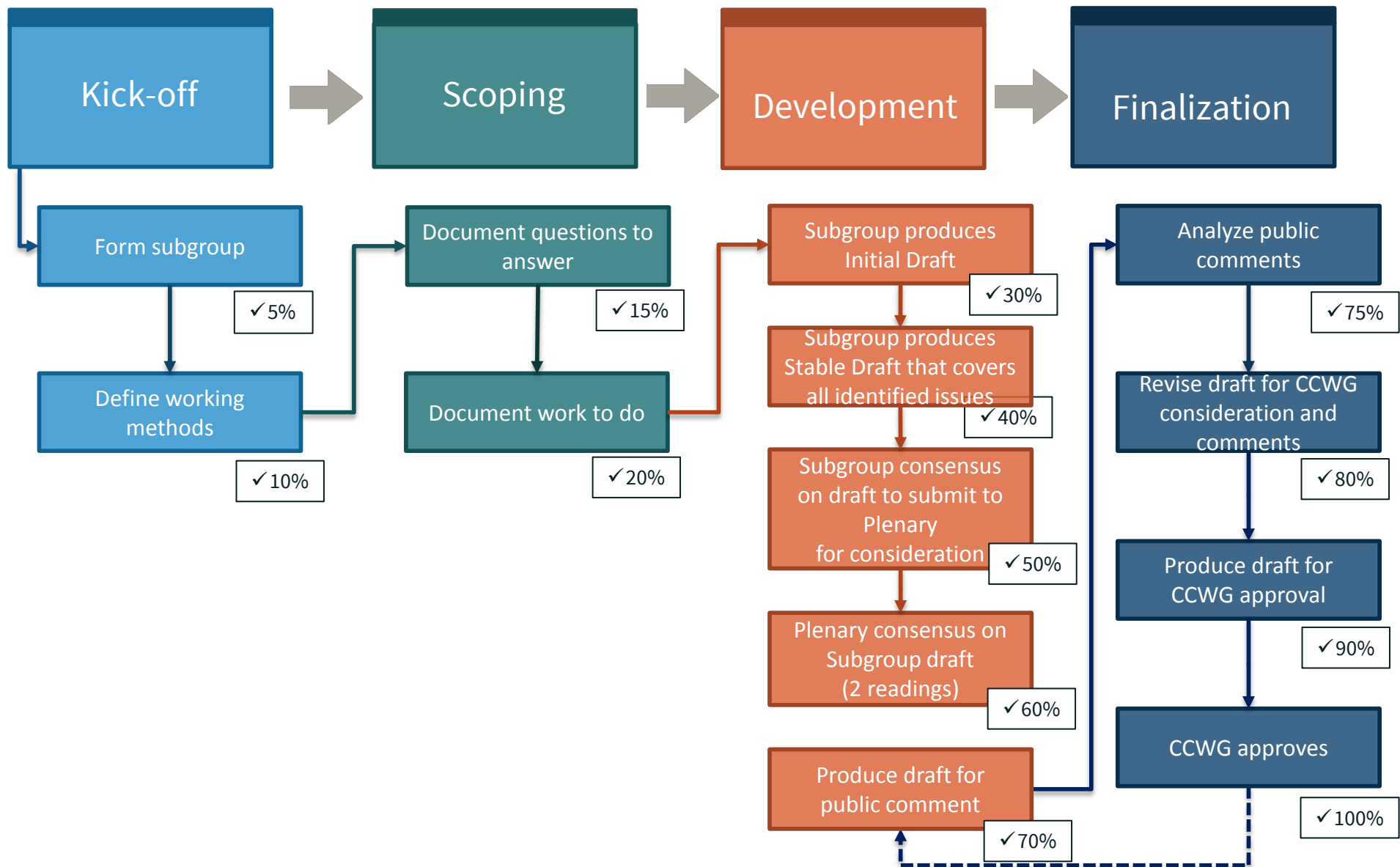
- Not started
- Target will be missed
- Completed

Updated on  
09 May 17



# Appendix

# Measurement of Progress



# Steps & milestones to finalize recommendations

Document questions to answer	15%	10/15/2016
Document work to do	20%	10/31/2016
Subgroup produces Initial draft	30%	1/31/2017
Subgroup produces stable draft that	40%	2/14/2017
Subgroup consensus on draft to submit to plenary for consideration	50%	2/28/2017
Plenary consensus on subgroup draft (1st reading)		3/10/2017
ICANN 58		3/11 - 3/16/2017
Plenary consensus on subgroup draft (2nd reading)	60%	3/24/2017
Staff produces draft for public comment	70%	4/7/2017
Public Comment Period		04/14 - 05/26/17
Analyze public comments	75%	6/2/2017
Revise draft for CCWG consideration and	80%	6/5/2017
CCWG review (1st reading)	90%	6/6/2017
CCWG review (2nd reading)	95%	6/9/2017
Staff produces final draft		6/10 - 6/24/17
CCWG agrees on final output and presents recommendations to community	100%	6/25/2017
ICANN 59		6/26 - 6/29/17

# Reporting Schedule

- Report updated monthly.
- 25<sup>th</sup> of the month (M): subgroups rapporteurs provide their monthly update.
- 25<sup>th</sup> + 5 business days: PCST provides draft financial statement of activity to CCWG co-chairs for previous period (M-1).
- End of month: staff updates report with all statistical data of the month (M)
- 25<sup>th</sup> + 10 business days: dashboard including activity of month (M), and financial information of month (M-1) is published at the beginning of the next month (M+1).