

**Third Accountability and
Transparency Review Team
(ATRRT3)**

**Draft Report for Public
Comment**

December 2019

TABLE OF CONTENTS

1. Summary, Key Points, and Questions for the Public Comment	5
ATRT3 Scope	5
Methodology	6
Key Findings	6
Implementation of ATRT2 recommendations	6
Survey Results	7
Accountability Indicators	9
Key Recommendations and Suggestions:	10
Issues with respect to the implementation of ATRT2 recommendations (Section 9 of this report)	10
Issues with respect to prioritization (Section 12.4 of this report)	10
Issues with respect to Specific and Organizational Reviews (Section 10 of this report)	13
Issues with respect to Public Comments (Section 5 of this report)	15
Accountability Indicators (Section 11 of this report)	16
2. Executive Summary	17
2.1. Introduction	17
2.2. Review Background	18
2.3. Review Scope	19
2.4. Methodology	20
2.5. Summary Findings	21
2.6. Review Team Suggestions and Recommendations	21
3. Issue 1 – Board	33
3.1. Introduction	33
3.2. Information Gathering	33
3.3. Analysis of Information and Identification of Issues	39
3.4. Suggestions Related to issues	45
3.5. Recommendations to Address Issues (none)	47
4. Issue 2 – Governmental Advisory Committee (GAC)	48
4.1. Introduction	48

4.2.	Information Gathering	48
4.3.	Analysis of Information and Identification of Issues	51
4.4.	Suggestions with Respect to Issues	53
4.5.	Recommendations to Address Issues (none)	54
5.	Issue 3 - Public Input	55
5.1.	Introduction	55
5.2.	Information Gathering	55
5.3.	Analysis of Information and Identification of Issues	61
5.4.	Suggestions with Respect to Issues.	64
5.5.	Recommendations and Suggestions to Address Issues (none)	66
6.	Issue 4 - Acceptance of ICANN Decisions	67
6.1.	Introduction	67
6.2.	Information Gathering	67
6.3.	Analysis of Information and Identification of Issues	68
6.4.	Suggestions with Respect to Issues (none)	68
6.5.	Recommendations to Address Issues (none)	68
7.	Issue 5 - Policy Development Process (PDP)	69
7.1.	Introduction	69
7.2.	Information Gathering	69
7.3.	Analysis of Information and Identification of Issues	71
7.4.	Suggestions with Respect to Issues	73
7.5.	Recommendations to Address Issues (none)	74
8.	Issue 6 – Assessment of the Independent Review Process (IRP)	75
8.1.	Introduction	75
8.2.	Information Gathering	75
8.3.	Analysis of Information and Identification of Issues	76
8.4.	Suggestions with Respect to Issues (none)	76
8.5.	Recommendations to Address Issues (none)	76
9.	Issue 7 – Assessment of Relevant ATRT2 recommendations	77
9.1.	Introduction	77
9.2.	Information Gathering	77

9.3.	Analysis of Information and Identification of Issues	80
9.4.	Suggestions Relative to Issues	82
9.5.	Recommendations to Address Issues (none)	82
10.	Issue 8 – Assessment of Periodic and Organizational Reviews	83
10.1.	Introduction	83
10.2.	Information Gathering	83
10.3.	Analysis of Information and Identification of Issues	86
10.4.	Suggestions Relative to Issues	89
10.5.	Recommendations to Address Issues	90
11.	Issue 9 – Accountability Indicators	93
11.1.	Introduction	93
11.2.	Information Gathering	93
11.3.	Analysis of Information and Identification of Issues	94
11.4.	Suggestions Related to Issues	96
11.5.	Recommendations to Address Issues (none)	96
12.	Issue 10 – Prioritization and Rationalization of Activities, Policies, and Recommendations	97
12.1.	Introduction	97
12.2.	Information Gathering	97
12.3.	Analysis of Information and Identification of Issues	99
12.4.	Suggestions Related to Issues	103
12.5.	Recommendations to Address Issues (none)	106
13.	SO/AC and Sub-Structures Accountability	107
13.1.	Survey	107
14.	Prioritization and Interdependencies of Recommendations (TBD)	116
	ANNEX A: ATRT2 Analysis Details	117
	ANNEX B: Detailed Survey Results and Analysis	155
	ANNEX C: GAC Input from ICANN65	222

1. Summary, Key Points, and Questions for the Public Comment

The Accountability and Transparency Review is being carried out in accordance with the ICANN Bylaws Section 4.6(b). The third Accountability and Transparency Review Team (ATRT3) held its first meeting on 3-5 April 2019 and must hand in its final report within 12 months, that is by 5 April 2020.

This is a special section of the Draft Report of the ATRT3 specifically prepared for Public Comment activity and should be of interest to all parts of the ICANN community.

This section highlights key findings, recommendations, and specific areas where the ATRT3 is seeking comment from the community. However, it is important to point out that commenters should try to take the time to consider the entire document and comment on any portion.

Questions for Public Comment Respondents

Per suggestions for Public Comments (Section 5 of this report), the ATRT3 is including a list of topics and questions it believes are critical for comment from respondents:

- Recommendation with respect to Specific and Organizational Reviews (this section and Section 10.5).
- Suggestion with respect to prioritization (this section and Section 12.4).

ATRT3 Scope

The ATRT3 assessed the following scope items: (please see the Executive Summary for complete details).

- Assessing and improving Board governance.
- Assessing the role and effectiveness of the Governmental Advisory Committee (GAC).
- Assessing and improving the processes by which ICANN receives public input.
- Assessing the extent to which ICANN's decisions are supported and accepted by the Internet community.
- Assessing the policy development process to facilitate enhanced cross community deliberations, and effective and timely policy development.
- Assessing and improving the Independent Review Process.
- Assessing the extent to which prior Accountability and Transparency Review recommendations have been implemented.
- Specific and Organizational Reviews.

- Review of ICANN’s Accountability Indicators (<https://www.icann.org/accountability-indicators>).
- Prioritization and rationalization of activities, policies, and recommendations.

Methodology

To undertake its work, ATRT3:

- Organized its report based on the above list of topics.
- Reviewed the implementation and effectiveness of the 47 distinct ATRT2 recommendations.
- Conducted a major survey of individuals and Structures¹ - Supporting Organizations (SOs), Advisory Committees (ACs), as well as Generic Names Supporting Organization (GNSO) constituent bodies and Regional At-Large Organizations (RALOs) - on a wide range of relevant topics. Results of the survey can be found in Annex B.
- Held interviews and meetings with the community at ICANN65 and ICANN66.
- Received briefings from various groups such as ICANN org’s Public Comment team and the NomCom Review Implementation Working Group.
- Reviewed the ICANN Accountability Indicators in detail.
- Reviewed many ICANN documents.
- Requested and received several clarifications from ICANN org.

Key Findings

Implementation of ATRT2 recommendations

ATRT3’s assessment of the implementation of ATRT2 recommendations (see Section 9 of this report) varied significantly from those reported by ICANN org that all recommendations had been implemented.² ATRT3 made the following assessment of the implementation of ATRT2 recommendations:

- 60% implemented.
- 23% partially implemented.
- 17% not implemented.

¹ 14 of 17 SOs, ACs, gNSO constituent bodies and RALOs responded to the Structures survey and 88 individuals responded to the survey but only about 50 answered most of the questions.

²[https://community.icann.org/display/atrt/ATRT2+Implementation+Program?preview=/48350211/96214045/Recommendations%201-12%20\(Oct%202018\).pdf](https://community.icann.org/display/atrt/ATRT2+Implementation+Program?preview=/48350211/96214045/Recommendations%201-12%20(Oct%202018).pdf)

To avoid such divergence in implementation assessments for Specific Reviews going forward, ATRT3 notes in Section 9 of the report that “The new Operating Standards for Specific Reviews³ adopted by the ICANN Board in June 2019, combined with the new website for tracking the implementation of review recommendations⁴ should address most if not all of these issues going forward.”

Survey Results

The ATRT3 survey results provided some very strong results (full survey results can be found in Annex B):

- Do you believe the information ICANN makes available on the icann.org website should be better organized to facilitate searching for specific topics?
 - Individuals responded 82% yes.
 - Structures responded 100% yes.
- Should the ATRT3 make recommendations about prioritization and rationalization of ICANN activities?
 - Individuals responded 73% yes.
 - Structures responded 92% yes.
- Should such recommendations include a process to retire recommendations as it becomes apparent that the community will never get to them or they have been overtaken by other events?
 - Individuals responded 85% yes.
 - Structures responded 100% yes.
- Should the community or representative(s) of the community be involved as a decisional participant in any mechanism which makes recommendations for prioritizing and rationalizing work for ICANN?
 - Individuals responded 97% yes.
 - Structures responded 100% yes.
- How would you rate the effectiveness of the Specific Reviews (ATRT, SSR, RDS, etc.) as they are currently structured in the ICANN Bylaws?
 - Only 16% of Structures responded that Specific Reviews were effective or very effective.
- Should Specific Reviews (ATRT, SSR, RDS, etc.) be reconsidered or amended?
 - Individuals responded 78% yes.
 - Structures responded 91% yes.
- How would you rate the effectiveness of Organizational Reviews, those reviewing SO/ACs as they are currently structured in the ICANN Bylaws?

³ <https://www.icann.org/en/system/files/files/operating-standards-specific-reviews-23jun19-en.pdf>

⁴ <https://www.icann.org/resources/reviews/specific-reviews>

- Only 46% of Structures responded that Specific Reviews were effective or very effective.
- Should Organizational Reviews be reconsidered or amended?
 - Individuals responded 85% yes.
 - Structures responded 83% yes.
- Please rate how effective the current system of Public Comment consultations is for gathering community input.
 - Only 50% of individuals thought Public Comments were effective or very effective.
 - However, 88% of individual respondents were in favor of re-examining the concept of Public Comments.

Accountability Indicators

Initial consideration of the Accountability Indicators (Section 11 of this Report) by the ATRT3 generated concern about the relevance or effectiveness of a number of these.

Additionally, the ATRT3 survey results show that:

- 54% of Structures are unaware of the existence of Accountability Indicators.
- 67% of Structures find the Accountability Indicators somewhat ineffective.

As an example of this:

- Objective 2 | Goal 2.2 - Domain Abuse Activity Reporting

Domain Abuse Activity Reporting



[Text accompanying the slide] The Domain Abuse Activity Reporting project (<https://www.icann.org/octo-ssr/daar>) is a system for studying and reporting on domain name registration and security threat (domain abuse) behavior across top-level domain (TLD) registries and registrars. The overarching purpose of Domain Abuse Activity Reporting is to report security threat activity to the ICANN community, which can then use the data to facilitate informed policy decisions.

ATRT3 assessment on this Accountability Indicator: It is unclear what the accountability value as of December 2019 is of this high-level project plan which is presented as ending in late February 2019. The text accompanying the slide is definitional and of little accountability value. The referenced website does contain relevant and up to date information, but it is unclear how this slide is a useful Accountability Indicator.

Key Recommendations and Suggestions:

ATRT3 makes a distinction between ‘recommendations’ and ‘suggestions’. The ATRT3 is focused on ensuring that its recommendations meet the requirements as set out in the Operating Standards for Specific Reviews while suggestions may not necessarily meet this standard.⁵ The ATRT3 does not consider suggestions to be less important than recommendations. The determination if an item is a suggestion or a recommendation will be finalized in ATRT3’s final report.

Issues with respect to the implementation of ATRT2 recommendations (Section 9 of this report)

As a result of its assessments ATRT3 makes suggestions to complete the implementation of a number of ATRT2 recommendations which were only partially implemented or not implemented (see Annex A on ATRT2 recommendations for details).

Suggestions:

- The Board should ensure that the first Competition, Consumer Trust, and Consumer Choice (CCT1), second Registration Directory Service (RDS2), and Cross Community Working Group on Enhancing ICANN Accountability – Work Stream 2 (CCWG-Accountability WS2) review teams provide Implementation Shepherds as defined in the Operating Standards for Specific Reviews to avoid any confusion as to the intent of their recommendations during implementation. Implementation of these recommendations should also be tracked using the reviews website.
- If the implementation of Specific Review recommendations is transferred to another process, the Board should ensure that any implementation reporting should clearly note this and ensure factual reporting on the progress of the implementation of such transferred recommendations.

Issues with respect to prioritization (Section 12.4 of this report)

Considering the strong support in the responses to the ATRT3 survey indicating that ATRT3 should make recommendations with respect to prioritization, and recognizing that there are several significant activities being undertaken in parallel by other parts of the ICANN Community regarding prioritization (Evolution of ICANN’s Multistakeholder Model⁶, ICANN Board Paper on Resourcing and Prioritization of Community Recommendations: Draft Proposal for Community Discussions⁷) ATRT3 proposes that only a community-led process can

⁵ <https://www.icann.org/en/system/files/files/operating-standards-specific-reviews-23jun19-en.pdf>

⁶ <https://www.icann.org/news/announcement-2-2019-08-27-en>

⁷ <https://www.icann.org/en/system/files/files/draft-proposal-resourcing-community-recommendations-29oct19-en.pdf>

legitimately develop a system for prioritizing the implementation of reviews, CWG, and CCWG recommendations.

Additionally, ATRT3 wishes to align with the efforts currently underway to develop a prioritization system to avoid conflicting recommendations or duplication of work. As such, ATRT3 has opted to provide some high-level guidance for the proposed community discussions regarding the creation and objectives of a community-led entity tasked with developing a prioritization process.

ATRT3's starting point was the following section from the ICANN Board Paper on Resourcing and Prioritization of Community Recommendations: Draft Proposal for Community Discussion:

Section 5B - "The ICANN community and ICANN org will collaboratively develop a methodology for prioritizing recommendations across review teams and for funding implementation of prioritized recommendations as part of the annual budget process. This methodology will be consistent with the existing budget development process, including the solicitation and consideration of community input. See also the discussion in Section 4 on prioritization".

Suggestion:

With the above context in mind, the ATRT3 suggests the following guidance for the creation of a community-led entity tasked with developing a prioritization process:

- Developing a Prioritization Process:
 - Overall the ATRT3 believes that the Operating Standards for Specific Reviews could serve as a good base for framing the creation and operation of a community-led entity tasked with developing an annual prioritization process.⁸
 - All community members participating in this process must have significant experience in ICANN and have actively participated in a major process in ICANN (CWG, CCWG-Accountability WS1 and 2, Expedited Policy Development Team (EPDP), etc.).
 - Members must include representatives from the Board and ICANN org.
 - The community-led entity developing the prioritization process should be given a fixed one-year term to complete its task.

⁸ <https://www.icann.org/en/system/files/files/operating-standards-specific-reviews-23jun19-en.pdf>

- The community-led entity could request the services of a professional facilitator to expedite its work.
- Requirements for a Prioritization Process
 - Overall the ATRT3 believes that the Operating Standards for Specific Reviews could serve as a good base for framing the operation of the annual prioritization process.⁹
 - Must be conducted annually by members of the community with the participation of the Board and the ICANN org.
 - The group actually performing the prioritization should be a standing group of represented structures and not necessarily specific individuals which will perform the annual prioritization process but which can also be called upon to deal with exceptional circumstances such as emergency re-allocation of funds if a prioritized implementation needs to be cancelled or an emergency approval of a new critical recommendation which is extremely time sensitive.
 - Must be conducted in an open and transparent fashion and each decision should be justified and documented.
 - The prioritization process should apply to all recommendations of CWGs, CCWGs, Organizational Reviews, Specific Reviews as well as any other type of community-driven recommendations. The process would also apply to any such recommendations which have been approved but not yet implemented.
 - The prioritization process should only consider the information it is provided with respect to recommendations and should not be required to generate or have generated any additional information for the evaluation of recommendations for prioritization.
 - The prioritization process can fund multi-year implementations but will review these annually to ensure they are still meeting their implementation objectives and the needs of the community.
 - Elements to be considered when prioritizing recommendations should include:
 - Budget availability.
 - Cost of implementation.
 - Complexity and time to implement.
 - Prerequisites and dependencies with other recommendations.
 - Value and impact of implementation.
 - Relevance to ICANN's Mission, Commitments, Core Values and Strategic Objectives.

⁹ <https://www.icann.org/en/system/files/files/operating-standards-specific-reviews-23jun19-en.pdf>

Issues with respect to Specific and Organizational Reviews (Section 10 of this report)

ATRT3 believes it needs to address the issue of Specific and Organizational Reviews in a holistic fashion for the following reasons:

- ATRT3 survey results with respect to Specific Reviews were that 67% of Structures (SO/ACs and their sub-components) found these somewhat ineffective or ineffective. The companion question that asked, *“Should Specific Reviews (ATRT, SSR, RDS, etc.) be reconsidered or amended?”*, had a 91% yes response from Structures.
- ATRT3 survey results with respect to Organizational Reviews were that Structures (SO/ACs and their sub-components) only found these effective or very effective in 46% of responses. The companion question asking, *“Should Organizational Reviews be reconsidered or amended?”*, produced some very strong results with Structure responses of 83% yes.
- Issues of timing and cadence of reviews. The Board paper on “Enhancing and Streamlining ICANN’s Reviews: Issues, Approaches, and Next Steps” states that, *“The Board believes that streamlining entails improving both the timing and the cadence of the reviews”*.¹⁰ Obviously holding four Specific Reviews and seven Organizational Reviews every five years is a challenge for ICANN org and the community and needs to be addressed.

In addition, it is important to note the “SSAC2018-19: SSAC Comment on Long-Term Options to Adjust the Timeline of Reviews”¹¹, referred to in the survey results, states:

“The SSAC shares the widespread concerns within the ICANN Community on the number of concurrent reviews, including the demands these place on ICANN Community members and on ICANN resources and budgets. The SSAC is acutely aware of these concerns since the SSAC is considerably constrained in its ability to be directly involved in and provide public comment on such reviews due to its small, all-volunteer composition, and heavy demands for its primary SSR advice. In particular, the SSAC has considered the key principles that have been proposed with the aim to rationalize the review schedule to make it more practical for the community. The SSAC supports the following principles:

¹⁰ <https://www.icann.org/news/blog/enhancing-and-streamlining-icann-s-reviews-issues-approaches-and-next-steps>

¹¹ <https://www.icann.org/en/system/files/files/ssac2018-19-24jul18-en.pdf>

- *Staggering the reviews to have no more than one Specific Review and two Organizational Reviews running concurrently;*
- *Adding timing criteria to ensure that the next cycle of a Specific or Organizational Review is not initiated until prior review recommendations are fully implemented and operational for a period of 12 months;*
- *Where appropriate, adding requirements that, like the Accountability and Transparency Review (ATRT), other Specific Review teams complete their work within 12 months;*
- *Focusing Specific Review teams' work on topics of highest priority to the community; and*
- *Adding scheduling flexibility for Specific Reviews to the Bylaws, with appropriate checks and balances.*

The SSAC supports the development of detailed changes to the ICANN Bylaws to enable these principles to be adopted."

Pending Recommendation

Although ATRT3 could not come to consensus on a single proposal to address the issues related to Organizational and Specific Reviews it did manage to narrow the options down to two distinct possibilities for this draft report which are presented below. The ATRT3 is seeking input from the community on these to assist it in coming to a conclusion on this topic for its final report.

Option 1:

- Keep the current set of Specific and Organizational reviews as they are given they are important accountability mechanisms for the community, in combination with a new oversight mechanism to manage reviews and the implementation of their recommendations.
- This new oversight mechanism should be the responsibility of a new Independent Accountability Office (in some ways similar to the Office of the Ombuds with respect to oversight), that includes responsibility for SO/AC accountability as well as well as the coordination of reviews and the implementation of their recommendations.

Option 2:

- **Organizational Reviews:** Maintain the current concept of individual Organizational Reviews for each SO/AC, but conduct them as three to five day workshops focused on SO/AC self-inspection in a context of continuous improvement. These reviews would be conducted every three years, or more frequently, as determined by each SO/AC. The reports of these reviews would then feed into a new holistic review. This new holistic review would focus on the improvements made by all SO/ACs as presented in their Organizational Review reports, as well as on the interactions between SOs and ACs. This new holistic review would be conducted every 7 years for a maximum duration of 12 to 18 months to allow for the implementation and maturing of the recommendations made by the individual Organizational Reviews and those of the previous holistic review.
- **Specific Reviews:** Specific Reviews include the Accountability and Transparency Review (AT), the Security, Stability, and Resiliency Review (SSR), the Competition, Consumer Trust, and Consumer Choice Review (CCT) and the Registration Directory Service (RDS) Review (formerly WHOIS Review). AT as well as the relevant portions of CCT and RDS would be combined into a single AT review which would be conducted every 7 years for a maximum duration of 12 to 18 months to allow for the implementation and maturing of the previous recommendations by this review. SSR could either be a three- to five-day workshop or a more traditional review period depending on topic.

Issues with respect to Public Comments (Section 5 of this report)

ATRT3 recognizes that the number of Individual respondents to its survey do not represent a statistically significant sample. ATRT3 further recognizes that allowing respondents to only respond to survey type questions could easily open the door to abuse of the Public Comment process.

This being said, ATRT3 also recognizes that individuals, especially those whose mother tongue is not English or who lack detailed technical knowledge, may find it challenging to provide meaningful input on long and often complex documents that are published for Public Comment only in English. Key elements to comment on may be difficult to identify without reading the entire document.

Suggestion:

Considering all of the above, ATRT3 strongly suggests that Public Comments not only seek general input on entire documents but also:

- Clearly identify who the intended audience is (general community, technical community, legal experts, etc.). This will allow potential respondents to quickly understand if they wish to invest the time to produce comments. This is not meant to prevent anyone from commenting but is rather meant as clarifying who is best suited to comment.
- Each Public Comment proceeding should provide a clear list of precise key questions in plain language that the public consultation is seeking answers from its intended audience.
- Results of these questions should be included in the staff report on the Public Comment proceeding.
- Where appropriate and feasible translations of a summary and precise key questions should be included in the Public Comment proceeding which could also allow for responses in the official ICANN languages.

Accountability Indicators (Section 11 of this report)

Suggestions:

- ATRT3 suggests that ICANN undertake a communications effort to make the community aware of the Accountability Indicators. Part of this effort could include a formal presentation of these at an ICANN meeting.
- ATRT3 strongly suggests that ICANN rapidly undertake a serious review of its Accountability Indicators to ensure that these:
 - Meet the stated objective in each section and subsection.
 - Provide data that is useful as an Accountability Indicator.
 - Provide data that can inform decision making processes.
 - Present data that is up to date.

2. Executive Summary

2.1. Introduction

This is the Draft Report of the Third Accountability and Transparency Review Team (ATRT3) produced in accordance with the ICANN Bylaws Section 4.6(b).

This review comes at a critical time for ICANN given its accountability and transparency framework has significantly evolved since the ATRT2 review was completed in December 2013. Elements which significantly contributed to this evolution include:

- The IANA Stewardship Transition in 2016.
- Approval and implementation in the Bylaws of the CCWG-Accountability Work Stream 1 (WS1) recommendations in 2016.
- The launching of “Work to Improve the Effectiveness of ICANN’s Multistakeholder Model of Governance” in April 2019.¹²
- The publication of ICANN’s Accountability Indicators in August 2019.
- Approval by the Board of the CCWG-Accountability Work Stream 2 (WS2) recommendations for implementation in November 2019.

It is also important to point out that Specific and Organizational Reviews are also in the process of significantly evolving. Elements contributing to this include:

- Publication for Public Comment on a “Process Proposal for Streamlining Organizational Reviews” in April 2019.¹³
- Approval of the new Operating Standards for Specific Reviews in June 2019.¹⁴
- The publication of the Board paper on “Resourcing and Prioritization of Community Recommendations: Draft Proposal for Community Discussions” in October 2019.¹⁵
- The publication of the Board Chair’s paper on “Enhancing and Streamlining ICANN’s Reviews: Issues, Approaches, and Next Steps” in October 2019.¹⁶

Relevant to this is the indication that revenues vs. expenses for ICANN have levelled off.

¹² <https://www.icann.org/resources/pages/governance-plan-improve-multistakeholder-model-2019-04-08-en>

¹³ <https://www.icann.org/public-comments/streamlining-org-reviews-proposal-2019-04-30-en>

¹⁴ <https://www.icann.org/en/system/files/files/operating-standards-specific-reviews-23jun19-en.pdf>

¹⁵ <https://www.icann.org/en/system/files/files/draft-proposal-resourcing-community-recommendations-29oct19-en.pdf>

¹⁶ <https://www.icann.org/news/blog/enhancing-and-streamlining-icann-s-reviews-issues-approaches-and-next-steps>

- The budget projections for 2020 show revenues at 140M\$US vs. expenses of 137M\$US.¹⁷
- The 2019 Annual Report shows revenues at USD 143 million vs. expenses of USD 139 million.¹⁸
- The 2018 Annual Report shows revenues at USD 121 million vs. expenses of USD 140 million.¹⁹

It is in this context that the ATRT3 undertook the review.

2.2. Review Background

The Affirmation of Commitments (AoC) between ICANN and the United States Department of Commerce signed on 30 September 2009 required ICANN to commit to undertaking several reviews:

- Ensuring accountability, transparency and the interests of global Internet users.
- Preserving security, stability, and resiliency.
- Promoting competition, consumer trust, and consumer choice.
- Enforcing its existing policy relating to WHOIS, subject to applicable laws.²⁰

Reviews are important accountability mechanisms that are now required by ICANN Bylaws and are critical to maintaining a healthy multistakeholder model. The AoC Reviews are currently referred to as Specific Reviews and are mandated in Section 4.6 of the Bylaws. They include the Accountability and Transparency (ATRT) reviews, the Competition, Consumer Trust and Consumer Choice (CCT) reviews, the Security, Stability, and Resiliency (SSR) reviews and Registration Directory Service (RDS) reviews.

According to the Bylaws (Section 4.6(b)), the ICANN Board *“shall cause a periodic review of ICANN’s execution of its commitment to maintain and improve robust mechanisms for public input, accountability, and transparency so as to ensure that the outcomes of its decision-making reflect the public interest and are accountable to the Internet community (‘Accountability and Transparency Review’).”* The Bylaws outline the issues that the Accountability and Transparency Review may assess, as described in Section 2.3 of this report.

¹⁷ <https://www.icann.org/en/system/files/files/adopted-opplan-budget-intro-highlights-fy20-03may19-en.pdf>

¹⁸ <https://www.icann.org/en/system/files/files/annual-report-2019-en.pdf>

¹⁹ <https://www.icann.org/en/system/files/files/annual-report-2018-en.pdf>

²⁰ <https://www.icann.org/resources/pages/affirmation-of-commitments-2009-09-30-en>

Article 4.6 (vi) states that “the Accountability and Transparency Review shall be conducted no less frequently than every five years measured from the date the previous Accountability and Transparency Review Team was convened.” Additionally, there is a requirement that ATRT reviews be completed within 1 year.

The first ATRT review, ATRT1, submitted its final report to the ICANN Board on 31 December 2010.²¹ The report included 27 recommendations on the following topics:

- ICANN Board of Directors governance, performance and composition (8).
- The role and effectiveness of the GAC and its interaction with the Board (6).
- Public input processes and the policy development process (8).
- Review mechanism(s) for Board decisions (4).
- Overarching recommendation (1).

The second ATRT review, ATRT2, submitted its final report to the ICANN Board on 31 December 2013.²² The report included 38 distinct recommendations on similar themes as those of ATRT1.

The third ATRT review, ATRT3, had its first face-to-face meeting on 3-5 April 2019 and is mandated to issue its final report within one year of convening its first meeting, that is, by 5 April 2020. Details of the ATRT3 composition are available on the ATRT3 wiki page.²³ The ATRT3 contracted Bernard Turcotte to serve as a technical writer for the review.

2.3. Review Scope

Per the ICANN Bylaws Section 4.6 (b):

“(ii) The issues that the review team for the Accountability and Transparency Review (the “Accountability and Transparency Review Team”) may assess include, but are not limited to, the following:

(A) assessing and improving Board governance which shall include an ongoing evaluation of Board performance, the Board selection process, the extent to which the Board’s composition and allocation structure meets ICANN’s present and future needs, and the appeal mechanisms for Board decisions contained in these Bylaws;

(B) assessing the role and effectiveness of the GAC’s interaction with the Board and with the broader ICANN community, and making recommendations for improvement to ensure effective

²¹ <https://www.icann.org/en/system/files/files/final-recommendations-31dec10-en.pdf>

²² <https://www.icann.org/en/system/files/files/final-recommendations-31dec13-en.pdf>

²³ <https://community.icann.org/x/Rxm8BQ>

consideration by ICANN of GAC input on the public policy aspects of the technical coordination of the DNS;

(C) assessing and improving the processes by which ICANN receives public input (including adequate explanation of decisions taken and the rationale thereof);

(D) assessing the extent to which ICANN's decisions are supported and accepted by the Internet community;

(E) assessing the policy development process to facilitate enhanced cross community deliberations, and effective and timely policy development; and

(F) assessing and improving the Independent Review Process.

(iii) The Accountability and Transparency Review Team shall also assess the extent to which prior Accountability and Transparency Review recommendations have been implemented and the extent to which implementation of such recommendations has resulted in the intended effect.

(iv) The Accountability and Transparency Review Team may recommend to the Board the termination or amendment of other periodic reviews required by this Section 4.6, and may recommend to the Board the creation of additional periodic reviews.”

The ATRT3 included the above items in its scope, along with the following topics:

- Review of ICANN's Accountability Indicators (<https://www.icann.org/accountability-indicators>).
- Prioritization and rationalization of activities, policies and recommendations.

2.4. Methodology

After identifying and prioritizing its scope items through a series of brainstorming exercises, the team agreed to conduct its work in four work parties: Board, GAC, Reviews, and Community.²⁴ Work party objectives were guided by ICANN's Bylaws. After completing its initial research and analysis of data, the review team agreed by consensus to move work party work to plenary level.

²⁴ <https://community.icann.org/x/ZSFIBg>

To undertake its work, ATRT3:

- Organized its report based on its scope items.
- Reviewed the implementation and effectiveness of the 47 distinct ATRT2 recommendations.
- Conducted a major survey of individuals and structures (SOs, ACs, as well as GNSO constituent bodies and RALOs) on a wide range of relevant topics. Results of the survey can be found in Annex B.
- Held interviews and meetings with the community at ICANN65 and ICANN66.
- Received briefings from various groups such as ICANN org’s Public Comment team and the NomCom Review Implementation Working Group.
- Reviewed the ICANN Accountability Indicators in detail.
- Reviewed many ICANN documents.
- Requested and received several clarifications from ICANN org.

2.5. Summary Findings

For the purposes of the Public Comment proceeding on this draft report, the ATRT3 has created a special section which contains a summary of key findings and questions for community consideration (see Section 1). A complete summary of findings will be developed for this section of the final report.

2.6. Review Team Suggestions and Recommendations

The ATRT3’s suggestions and recommendations are summarized below. Please refer to the relevant sections of this report for more details on each.

Issue	Suggestion / Recommendation
Issue 1 – Board - ATRT2 Recommendation 2 (Section 3.3.1)	<ul style="list-style-type: none"> ● The Board should establish the same targets it uses for publishing agendas and minutes of Board meetings for the agendas and minutes of all its official committees and publish these in the Accountability Indicators. ● The Board should show the date of publication of materials on the Board website instead of only in the materials themselves.

	<ul style="list-style-type: none"> • All of these relevant indicators of Board performance should be grouped in a single area of the Accountability Indicators. • Board minutes should indicate how members voted, including in Executive Sessions. • Board minutes should include, in addition to the rationale, summaries of the main discussion points covered prior to taking votes.
Issue 1 – Board - ATRT2 Recommendation 4 (Section 3.3.2)	<p>ATRT3 suggests that similarly to Reviews and the implementation of Review recommendations, ICANN should provide a centralized system to track the development, approval, and implementation of policy by the SOs.</p> <p>Additionally, ICANN should, in a similar fashion to its Action Request Registry for ACs, institute a section on its website to track requests and communications from SOs and associated follow-on actions if any are required.</p>
Issue 1 – Board - ATRT2 Recommendation 5 (Section 3.3.3)	<p>Given ATRT3 has assessed ATRT2 recommendation 5 as not implemented, ATRT3 strongly suggests that the implementation of a “single unified redaction policy” be completed, as well as the adoption and adherence to effective processes, in support of the requirements of the recommendation.</p>
Issue 1 – Board - ATRT2 Recommendation 9.1 (Section 3.3.4)	<p>ATRT3 suggests that the Board implement a maximum time to provide an initial assessment of recommendations made by SO/ACs which require action.</p>
Issue 1 – Board - ATRT2 Recommendation 10.5 (Section 3.3.5)	<p>ATRT3 suggest that ICANN continue to support and enhance the following programs (among others): Fellowship, NextGen, ICANN Academy Leadership Programs, and the Community Regional Outreach Program (CROP). ICANN should also continue to improve the options for remote participation, including captioning.</p>
Issue 1 - Board - Survey Question: Please indicate your satisfaction with the	<p>See the recommendation for Issue 1 – Board - ATRT2 Recommendation 2 (Section 3.3.1).</p>

Board's performance overall (Section 3.3.6)	
Issue 1 – Board - Survey Question: How does your Structure feel regarding the Board’s interaction with your SO/AC? (Question only for Structures) (Section 3.3.7)	<p>ATRT3 suggests that the Board should take concrete steps to ensure that Board members continue to regularly meet with the community at ICANN meetings, including the sub-components of the GNSO and At-Large, but that these interactions be less formal and allow sufficient time for a true dialogue on questions of interest to those community members.</p>
Issue 1 – Board - Survey Question: Do you consider the diversity amongst Board members satisfactory? (Section 3.3.8)	<p>Given the Bylaws specify how voting Board members are selected - SO/ACs nominated and confirmed by the Empowered Community (EC), as well as the Nominating Committee (NomCom) - it would be difficult for ATRT3 to recommend modifying this delicate balance without launching a major process to formally study this.</p> <p>As such, ATRT3 suggests that the SOs and ACs that nominate voting Board members to the ICANN Board voluntarily consider their nominations based on crucial aspects of Board diversity giving particular attention to gender criteria.</p> <p>Additionally, ATRT3 notes that the Empowered Community should consider the Bylaws requirements on diversity when considering the confirmation of Board members.</p>
Issue 1 - Board - Survey Question: Rate the mechanisms ensuring the Board’s transparency (Section 3.3.9)	<p>See the recommendation for Issue 1 – Board - ATRT2 Recommendation 2 (Section 3.3.1).</p>
Survey Question: Are you satisfied with the Board’s decision-taking process? (Section 3.3.10)	<p>See the recommendation for Issue 1 – Board - ATRT2 Recommendation 2 (Section 3.3.1).</p>
Issue 1 – Board - Survey Question: Are you aware of	<p>ATRT3 strongly suggests that once ATRT3’s suggestions related to ATRT2 Recommendation 2 are implemented, the</p>

<p>the training program for the Board members? (Section 3.3.11)</p>	<p>Board undertake a communications exercise to familiarize the community with these new processes and its training program.</p>
<p>Issue 1 – Board - Survey Question: Are you satisfied with the financial information that is provided to the public by ICANN? (Section 3.3.12)</p>	<p>Regarding communicating budget information to the community, especially for Public Comment proceedings, ATRT3 suggests that the Board and ICANN org.:</p> <ul style="list-style-type: none"> ● Adhere to the suggestions regarding Public Comments made in this report relative to public consultations. ● Tailor budget information for SO/ACs so that they can easily understand budgeting relative to SO/ACs. ● A clear rationale in simple language explaining key decisions should be included in these materials.
<p>Issue 1 – Board - Survey question: Do you believe the information ICANN makes available on the icann.org website should be better organized to facilitate searching for specific topics? (Section 3.3.13)</p>	<p>ATRT3 suggests that the next ATRT (or equivalent review) evaluate the results of the implementation of the Information Transparency Initiative (ITI).</p>
<p>Issue 2 - GAC - ATRT2 Recommendation 6.1.D (Section 4.3.1)</p>	<p>ATRT3 suggests that the GAC publish a short list of suggested qualities or requirements for liaisons to assist SO/ACs to select the best candidates to be GAC liaisons.</p>
<p>Issue 2 - GAC - ATRT2 Recommendation 6.1.D (Section 4.3.1)</p>	<p>ATRT3 suggests that the GAC, in conjunction with ICANN, should provide orientation for liaisons to GAC so they understand the environment of the GAC as well as the expectations for liaisons.</p>
<p>Issue 2 - GAC - ATRT2 Recommendation 6.1.H (Section 4.3.2)</p>	<p>ATRT3 suggests that the GAC continue to commit to its improvement efforts focusing on ensuring early engagement with relevant SOs and ACs on matters of importance to the GAC.</p>

Issue 2 - GAC - ATRT2 Recommendation 6.6 (Section 4.3.3)	ATRT3 suggests that the GAC continue with improvements in this area.
Issue 2 - GAC - Survey Question: Should GAC accountability be improved? (Section 4.3.4)	ATRT3 suggests that the GAC, in addition to suggestions 4.4.1.1 and 4.4.3, pursue its continuous improvement efforts and focus on making the GAC Communiqué clearer. This would facilitate the community’s ability to take in GAC advice and properly consider it in the context of any relevant ongoing work.
Issue 2 - GAC - Survey Question: In your view are you satisfied with the interactions the GAC has with the Board? (Section 4.3.5)	ATRT3 suggests that the GAC and the Board develop joint messaging about the current state of their interactions and the mechanisms which support these.
Issue 2 - GAC - Survey Question: In your view are you satisfied with the interactions the GAC has with the SO/ACs? (Section 4.3.6)	ATRT3 suggests that the GAC, considering the success of the current mechanisms that are in place for interacting with the Board, work with the GNSO to implement similar mechanisms to facilitate interactions between the GAC and the GNSO.
Issue 3 - Public Input - ATRT2 Recommendation 8 (Section 5.3.1)	Given ATRT2 Recommendation 8 was not completely implemented, ATRT3 strongly suggests that ICANN perform and publish some type of quality measurements with respect to its language services. These could include, for example, regular user satisfaction surveys at ICANN meetings for interpretation and obtaining a rating as to the quality of the translation of documents from members of the community who use these translated documents.
Issue 3 - Public Input - Survey Questions: <ul style="list-style-type: none"> ● Please rate how effective the current system of Public Comment consultations is for 	ATRT3 strongly suggests that Public Comments not only seek general input on entire documents but also: <ul style="list-style-type: none"> ● Clearly identify who the intended audience is general community, technical community, Legal experts etc.). This will allow potential respondents to quickly understand if they wish to invest the time to produce

<p>gathering community input (Section 5.3.2)</p> <ul style="list-style-type: none"> ● Would your Structure respond more often to Public Comments if the consultation included short and precise questions regarding the subject matter in a Survey Monkey or similar format? (Section 5.3.3) 	<p>comments. This is not meant to prevent anyone from commenting but is rather meant as clarifying who is best suited to comment.</p> <ul style="list-style-type: none"> ● Each Public Comment proceeding should provide a clear list of precise key questions in plain language that the public consultation is seeking answers to from its intended audience. ● Where appropriate and feasible, translations of a summary and precise key questions should be included in the Public Comment proceeding which could also allow for responses in the official ICANN languages. ● Results of these questions should be included in the staff report on the Public Comment proceeding.
<p>Issue 3 - Public Input - Public Comments vs. other public input methods (Section 5.3.4)</p>	<p>ATRT3 strongly suggests that:</p> <ul style="list-style-type: none"> ● For those topics which do not specifically require a Public Comment process to gather community input ICANN org should develop and publish guidelines to assist in determining when a Public Comment process is required vs. alternate mechanisms for gathering input. ● ICANN org should develop guidelines for how alternative mechanisms for gathering input should operate including producing final reports. ● ICANN org should develop a system similar to, and integrated with, the Public Comment tracking system which would show all uses of alternate mechanisms to gather input including results and analysis of these. ● ICANN org should publish the complete “Public Comment Guidelines for the ICANN Organization”. ● ICANN org should explain why its blog posts collect feedback information when the “Public Comment Guidelines for the ICANN Organization” state that they “will not be used as mechanisms for collecting feedback”.
<p>Issue 5 - Policy Development Process (PDP) - ATRT2 recommendations 10.1, 10.3</p>	<p>ATRT3 recognizes that there are several significant activities being undertaken in parallel by other parts of the ICANN community that will potentially have wide ranging effects on the current generic top-level domain (gTLD) policy</p>

<p>and 10.4 (Sections 7.3.1, 7.3.2, 7.3.3)</p>	<p>development process (PDP). These include the GNSO Council’s work on “PDP 3.0”, the results of the GNSO’s EPDP process, and outcomes from the current work on the “Evolution of the ICANN Multistakeholder Model” process. None of these will likely be completed prior to ATRT3 submitting its final report. Therefore, ATRT3 has deemed it as premature to make any specific recommendations or suggestions regarding gTLD PDPs.</p> <p>Regardless of the results of these other processes, ATRT3 strongly suggests that any proposal to change the current gTLD PDPs clearly enhance the processes, not reduce or restrict the open, equitable, and collaborative nature of the ICANN multistakeholder model, or adversely affect the security and stability of the DNS.</p>
<p>Issue 7 – Assessment of Relevant ATRT2 recommendations (Section 9.3)</p>	<p>The Board should ensure that the CCT1, RDS2 and CCWG-Accountability WS2 review teams provide Implementation Shepherds as defined in the Operating Standards for Specific Reviews to avoid any confusion as to the intent of their recommendations during implementation. Implementation of these recommendations should also be tracked using the reviews website.</p>
<p>Issue 7 – Assessment of Relevant ATRT2 recommendations (Section 9.3)</p>	<p>If the implementation of Specific Review recommendations is transferred to another process, the Board should ensure that any implementation reporting should clearly note the transfer and ensure factual reporting on the progress of the implementation of such transferred recommendations.</p>
<p>Issue 8 - Assessment of Periodic and Organizational Reviews - ATRT2 Recommendation 11.4 (Section 10.3.3)</p>	<p>ATRT3 suggests:</p> <ul style="list-style-type: none"> ● The Board follow through with requesting an Implementation Shepherd (Section 4.5 of the Operating Standards) from ATRT3 for the implementation of its suggestions and recommendations. ● ICANN open a Public Comment proceeding on its implementation of the ATRT3 suggestions and recommendations such that the Implementation

	<p>Report is available at the launch of the next ATRT-type review (recognizing ATRT3 will be making recommendations with respect to Specific Reviews).</p>
<p>Issue 8 - Assessment of Periodic and Organizational Reviews - ATRT2 Recommendation 11.5 (Section 10.3.4)</p>	<p>The ATRT3 recognizes and endorses the importance of ATRT2 Recommendation 11.5 and notes that it has generally been implemented. ATRT3 suggests that review teams assess their allocated budget with staff once they have established a work plan. Review teams should be allowed to request reasonable and justified amendments as necessary to ensure they can complete their task. The review team and staff should review the budget at regular intervals during the project and could request to have it amended it under exceptional circumstances.</p>
<p>Issue 8 - Assessment of Periodic and Organizational Reviews - ATRT2 Recommendation 11.7 (Section 10.3.6)</p>	<p>Given ATRT3’s assessment that this recommendation was not implemented ATRT3 suggests that the Board implement this recommendation as it was originally proposed by ATRT2.</p>
<p>Issue 8 - Assessment of Periodic and Organizational Reviews - Survey Questions:</p> <ul style="list-style-type: none"> ● How would you rate the effectiveness of the Specific Reviews (ATRT, SSR, RDS, etc.) as they are currently structured in the ICANN Bylaws? (Section 10.3.7) ● How would you rate the effectiveness of Organizational Reviews, those reviewing SO/ACs as they are currently structured in the 	<p>Although ATRT3 could not come to consensus on a single proposal to address the issues related to Organizational and Specific Reviews, it did narrow the options down to two distinct possibilities for this draft report which are presented below. The ATRT3 is seeking input from community on these proposals to assist it in concluding on this topic for its final report.</p> <p>Option 1:</p> <ul style="list-style-type: none"> ● Keep the current set of Specific and Organizational Reviews as they are important Accountability Mechanisms for the community, in combination with a new oversight mechanism to manage reviews and the implementation of their recommendations. ● This new oversight mechanism should be the responsibility of a new Independent Accountability Office (in some ways like the Office of the Ombuds with

<p>ICANN Bylaws? (Section 10.3.8)</p>	<p>respect to oversight), that includes responsibility for SO/AC accountability as well as well as the coordination of reviews and the implementation of their recommendations.</p> <p>Option 2:</p> <ul style="list-style-type: none">● Organizational Reviews: Maintain the current concept of individual Organizational Reviews for each SO/AC, but conduct them as three to five day workshops focused on SO/AC self-inspection in a context of continuous improvement. These reviews would be conducted at least every three years, or more frequently as determined by each SO/AC. The reports of these reviews would then feed into a new holistic review. This new holistic review would focus on the improvements made by all SO/ACs as presented in their Organizational Review reports, as well as on the interactions between SOs and ACs. This new holistic review would be conducted every 7 years for a maximum duration of 12 to 18 months to allow for the implementation and maturing of the recommendations made by the individual Organizational Reviews and those of the previous holistic review.● Specific Reviews: Specific Reviews include the Accountability and Transparency Review (AT), the Security, Stability, and Resiliency Review (SSR), the Competition, Consumer Trust, and Consumer Choice Review (CCT), and the Registration Directory Service (RDS) Review (formerly WHOIS Review). AT as well as the relevant portions of CCT and RDS would be combined into a single AT review which would be conducted every 7 years for a maximum duration of 12 to 18 months to allow for the implementation and maturing of the previous recommendations by this review. SSR could either be a three to five-day workshop or a more traditional review period depending on topic.
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<p>Issue 9 - Accountability Indicators - Survey Question: Has your Structure looked at the ICANN Accountability Indicators? (Section 11.3.1)</p>	<p>ATRT3 suggests that ICANN undertake a communications effort to make the community aware of the Accountability Indicators. Part of this effort could include a formal presentation of these at an ICANN meeting.</p>
<p>Issue 9 - Accountability Indicators - Please rate the effectiveness of the Accountability Indicators as they relate to Board performance as found in https://www.icann.org/accoun-ability-indicators 3.3 (Section 11.3.2)</p>	<p>ATRT3 strongly suggests that ICANN rapidly undertake a serious review of its Accountability Indicators to ensure that these:</p> <ul style="list-style-type: none"> ● Meet the stated objective in each section and subsection. ● Provide data that is useful as an Accountability Indicator. ● Provide data that can inform decision making processes. ● Present data that is up to date.
<p>Issue 10 - Prioritization and Rationalization of Activities, Policies, and Recommendations - Survey Questions:</p> <ul style="list-style-type: none"> ● Should the ATRT3 make recommendations about prioritization and rationalization of ICANN activities? (Section 12.3.5) ● Should such recommendations include a process to retire recommendations as it becomes apparent that the community will never get to 	<p>ATRT3 suggests the following guidance for the creation of a community-led entity tasked with developing a prioritization process:</p> <p>Developing a Prioritization Process:</p> <ul style="list-style-type: none"> ○ Overall the ATRT3 believes that the Operating Standards for Specific Reviews could serve as a good base for framing the creation and operation of a community-led entity tasked with developing an annual prioritization process.²⁵ ○ All community members participating in this process must have significant experience in ICANN and have actively participated in a major process in ICANN (CWG, CCWG-Accountability WS1 and 2, EPDP etc.). ○ Members must include representatives from the Board and ICANN org. ○ The community-led entity developing the prioritization process should be given a fixed one-year term to complete its task.

²⁵ <https://www.icann.org/en/system/files/files/operating-standards-specific-reviews-23jun19-en.pdf>

<p>them or they have been overtaken by other events? (Section 12.3.6)</p> <ul style="list-style-type: none"> ● Should such recommendations aim to provide a general approach for prioritizing and rationalizing work for ICANN? (Section 12.3.7) ● Should the community or representative(s) of the community be involved as a decisional participant in any mechanism which makes recommendations for prioritizing and rationalizing work for ICANN? (Section 12.3.8) ● Do you think the Empowered Community would be a good mechanism for making recommendations on prioritizing and rationalizing if its role was amended to allow this? (Section 12.3.9) 	<ul style="list-style-type: none"> ○ The community-led entity could request the services of a professional facilitator to expedite its work. <p>Requirements for a prioritization process:</p> <ul style="list-style-type: none"> ○ Overall the ATRT3 believes that the Operating Standards for Specific Reviews could serve as a good base for framing the operation of the annual prioritization process.²⁶ ○ Must be conducted annually by members of the community with the participation of the Board and the ICANN org. ○ The group actually performing the prioritization should be a standing group which will perform the annual prioritization process but which can also be called upon to deal with exceptional circumstances such as emergency reallocation of funds if a prioritized implementation needs to be cancelled or an emergency approval of a new critical recommendation which is extremely time sensitive. ○ Must be conducted in an open and transparent fashion and each decision should be justified and documented. ○ The prioritization process should apply to all recommendations of CWGs, CCWGs, Organizational Reviews, and Specific Reviews, as well as any other type of community-driven recommendations. The process would also apply to any such recommendations which have been approved but not yet implemented. ○ The prioritization process should only consider the information it is provided with respect to recommendations and should not be required to generate or have generated any additional information for the evaluation of recommendations for prioritization.
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²⁶ <https://www.icann.org/en/system/files/files/operating-standards-specific-reviews-23jun19-en.pdf>

	<ul style="list-style-type: none"> ○ The prioritization process can fund multiyear implementations but will review these annually to ensure they are still meeting their implementation objectives and the needs of the community. ○ Elements to be considered when prioritizing recommendations should include: <ul style="list-style-type: none"> ■ Budget availability ■ Cost of implementation ■ Complexity and time to implement ■ Prerequisites and dependencies with other recommendations ■ Value/Impact of implementation ■ Relevance to ICANN’s Mission, Commitments, Core Values and Strategic Objectives
<p>Issue 10 - Prioritization and Rationalization of Activities, Policies and Recommendations - ATRT2 Recommendations 12.1 and 12.4 (Sections 12.3.1 and 12.3.3)</p>	<p>ATRT3 suggests that the budget consultation process be improved to allow for greater community participation by providing a plain language summary of the proposed budget as per the suggestions ATRT3 has made with respect to Public Comment proceedings in Section 5 of this report.</p>
<p>Issue 10 - Prioritization and Rationalization of Activities, Policies and Recommendations - ATRT2 Recommendation 12.3 (Section 12.3.2)</p>	<p>ATRT3 suggests that the Board implement ATRT2 Recommendation 12.3. ATRT3 understands that ICANN does perform some benchmarking related to salaries however this is only one element of the ATRT2 recommendation. If no comparable organization can be found for performing overall benchmarking then the benchmarking activity should be broken down into component parts for which comparable organizations can be found in a similar fashion to what was done for salaries.</p>

3. Issue 1 – Board

3.1. Introduction

3.1.1. Per ICANN Bylaws Section 4.6(b)(ii)(A): *“Assessing and improving Board governance which shall include an ongoing evaluation of Board performance, the Board selection process, the extent to which the Board's composition and allocation structure meets ICANN's present and future needs, and the appeal mechanisms for Board decisions contained in these Bylaws”.*

3.2. Information Gathering

3.2.1. Summary of Assessments

ATRT3 performed an assessment of each of the ATRT2 recommendations listed in this section relative to implementation and effectiveness. These assessments can be found in Annex A of this report.

The table below presents a summary of these assessments and indicates if ATRT3 is proposing a Suggestion or Recommendation.

ATRT2 Recommendation	ATRT3 Implementation Assessment	ATRT3 Effectiveness Assessment	ATRT3 Suggestion or Recommendation
1	Partially Implemented	Insufficient Information	No (please see analysis for details)
2	Partially Implemented	Insufficient Information	Suggestion
3	Partially Implemented	Insufficient Information	No (please see analysis for details)
4	Implemented	Insufficient Information	Suggestion
5	Not Implemented	Not Applicable	Suggestion

9.1	Not Implemented	Not Applicable	Suggestion
9.2	Partially Implemented	Insufficient Information	No (please see analysis for details)
9.3	Partially Implemented	Insufficient Information	No (please see analysis for details)
9.5	Partially Implemented	Insufficient Information	No (please see analysis for details)
10.5	Implemented	Partially Effective	Suggestion

3.2.2. ATRT3 Survey - Summary of Results

ATRT3 undertook a [survey](#) of the community with two surveys, one for individuals and another for Structures (SO/ACs and their component parts). The questions from the survey, the responses, comments from respondents and the analysis of these results can be found in Annex B of this report.

The table below presents a summary of these results and indicates if ATRT3 is proposing a suggestion or recommendation.

Survey Question	Analysis	ATRT3 Suggestion or Recommendation
Please indicate your satisfaction with the Board's performance overall.	Individual responses of 55% very satisfied or satisfied vs. 28% somewhat dissatisfied or very dissatisfied for a net of 27% very satisfied or satisfied is similar to the Structure responses and is a weak show of support.	Suggestion
How does your Structure feel regarding the Board's interaction with your SO/AC? (Question only for Structures)	The 40% somewhat dissatisfied or very dissatisfied indicates that there is an issue. All of the written comments were from either GNSO or At-Large components.	Suggestion
Do you consider the diversity amongst Board members satisfactory?	Individual responses were essentially split but Structures with 64% no indicates a significant issue.	Suggestion
How satisfied are you with the Nominating Committee's selection of Directors for the ICANN Board?	Individual responses of 63% satisfied or very satisfied vs. 18% that are somewhat dissatisfied or very dissatisfied produces a net of 45% that are satisfied or very satisfied which shows very good support. Structure responses of 71% satisfied or very satisfied vs. 14% that are somewhat dissatisfied or very	No (please see detailed analysis)

	<p>dissatisfied produces a net of 57% that are satisfied or very satisfied which shows strong support.</p> <p>The GNSO and Business Constituency (BC) comment is more about representation on the Board and the voting structure of the GNSO vs. responding to the question.</p> <p>The Registries Stakeholder Group (RySG) recommendation that Board members should have greater understanding of the domain name industry is noted with the understanding that ICANN should represent all types of users.</p>	
<p>Do you feel that the NomCom as currently constituted is a sufficient mechanism for fostering nominations that have adequate stakeholder and community buy in?</p>	<p>Individual responses are essentially split on this question with 54% yes to 46% no producing a net 8% yes which is considered extremely weak. Structures at 61% no vs. 39% yes producing a net of 22% no which is a weak result.</p>	<p>No</p>
<p>Please indicate your satisfaction with the accountability of the Board under the new accountability mechanisms such as the Empowered Community.</p>	<p>Individual responses of 47% satisfied or very satisfied vs. 29% that are somewhat dissatisfied or very dissatisfied produces a net of 18% that are satisfied or very satisfied which is a very weak show of support.</p> <p>Structure responses of 36% satisfied or very satisfied vs. 21% that are somewhat dissatisfied or very dissatisfied produces a net of 15% that are satisfied or very satisfied is also a very weak show of support.</p> <p>As the comments indicate, several</p>	<p>No</p>

	<p>respondents were trying to respond based on the use of the EC’s powers, some of which have not been used.</p>	
<p>Rate the mechanisms ensuring the Board’s transparency</p>	<p>Individual responses of 43% satisfied or very satisfied vs. 37% somewhat dissatisfied or very dissatisfied produces a net of 6% satisfied or very satisfied which is extremely weak.</p> <p>Structure responses of 57% satisfied or very satisfied vs. 14% somewhat dissatisfied or very dissatisfied producing a net of 43% satisfied or very satisfied which shows very good support.</p> <p>However, the individual question “Do you think the mechanisms ensuring Board transparency need to be improved” had responses of 80% requiring improvements to Board transparency. This is significant when coupled with the comments from the Intellectual Property Constituency (IPC) and RySG.</p>	<p>Suggestion</p>
<p>How would you rate the importance of the Board implementing the Transparency Recommendations from the CCWG-Accountability WS2?</p>	<p>Individual responses of 83% important or very important vs. 6% somewhat not important or not important produces a net of 77% important or very important which is extremely strong.</p> <p>Structure responses of 85% important or very important vs. 0% somewhat not important or not important produces a net of 85% important or very important which is extremely strong.</p>	<p>No</p>

<p>Are you satisfied with the Board’s decision-taking process?</p>	<p>Individual responses of 56% yes vs. 44% no produces a net of 12% yes, which is very weak.</p> <p>Structure responses of 58% yes vs. 42% no produces a net of 16% yes, which is also very weak.</p>	<p>Suggestion</p>
<p>Are you aware of the training program for the Board members?</p>	<p>What is important to note is the inversion of responses between individuals and Structures</p>	<p>Suggestion</p>
<p>Are you satisfied with the financial information that is provided to the public by ICANN?</p>	<p>Individual responses to the first question of 55% satisfied or very satisfied vs. 24% somewhat dissatisfied or very dissatisfied produces a net of 31% satisfied or very satisfied, which shows good support.</p> <p>Structure responses to the first question of 54% satisfied or very satisfied vs. 31% somewhat dissatisfied or very dissatisfied producing a net of 23% satisfied or very satisfied, which shows weak support.</p> <p>Individual responses to the second question of 61% somewhat useful or very useful vs. 11% somewhat not useful or not useful produces a net of 50% somewhat useful or very useful, which shows very good support.</p> <p>Structure responses to the second question of 53% somewhat useful or very useful vs. 31% somewhat not useful or not useful producing a net of 22% somewhat useful or very useful, which shows weak support.</p>	<p>Suggestion</p>

Have you ever filed a Documentary Information Disclosure Policy (DIDP) request with ICANN?	Responses were 100% no.	No
Do you believe the information ICANN makes available on the icann.org website should be better organized to facilitate searching for specific topics?	Responses were 100% yes.	Suggestion
Are you aware of ICANN’s open data mechanisms, including the Information Transparency Initiative (ITI) or the Open Data Initiative (ODI), or about ICANN’s transparency policies more generally?	Individual responses of 63% yes and Structure responses of 73% yes indicate a strong awareness.	No

3.2.3. Other Information (None)

3.3. Analysis of Information and Identification of Issues

3.3.1. ATRT2 Recommendation 2: The Board should develop metrics to measure the effectiveness of the Board’s functioning and improvement efforts, and publish the materials used for training to gauge levels of improvement.

Conclusion: The [executive summary](#) which was provided as an implementation report for ATRT2 recommendations only discusses assessment of Board member skills and training except for one item which states:

“Initial set of KPIs including training efficiency and Board Performance documented and vetted with the BGC and the Board in preparation for operationalization.”

Now key performance indicators (KPIs) have evolved into the [Accountability Indicators](#), which were initially published in August 2019 (see Section 11 of this report for more information on these, as well as an assessment by ATRT3). The only section of the Accountability Indicators which touches on the Board is a small portion of Objective 3, Goal 3.3, which presents the geographic diversity of the Board. This does not address developing “metrics to measure the

effectiveness of the Board's functioning and improvement efforts”, as required by the recommendation.

When ICANN org was asked about these metrics, ATRT3 was referred to the Accountability Indicators as the only metrics available.

Various other sections of the Accountability Indicators do offer some other useful metrics, such as the time for publishing annual reports and agendas and minutes of Board meetings vs. targets, etc.

Given the results of the ATRT3 surveys show limited satisfaction on Board performance, transparency, and decision-taking, the ATRT3 makes the following suggestions:

- The Board should establish the same targets it uses for publishing agendas and minutes of Board meetings for the agendas and minutes of all its official committees and publish these in the Accountability Indicators.
- All the relevant indicators of Board performance should be grouped in a single area of the Accountability Indicators.
- Board minutes should indicate how members voted, including in Executive Sessions.
- Board minutes should include summaries of the main discussion points covered prior to taking votes.

3.3.2. ATRT2 Recommendation 4: The Board should continue supporting cross-community engagement aimed at developing an understanding of the distinction between policy development and policy implementation. Develop complementary mechanisms whereby the Supporting Organizations and Advisory Committees (SO/AC) can consult with the Board on matters, including but not limited to policy, implementation and administrative matters, on which the Board makes decisions.

Conclusion: There is no meaningful metric to show any particular improvement of the wider ICANN community understanding the difference between policy development and implementation of policy as was called for by the recommendation. ATRT3 does recognize and appreciate the considerable work already done in the GNSO regarding non-PDP and cross-community WG processes. However, this is not an example of ongoing and Board-facilitated cross-community engagement. It does not properly implement what was in the recommendation. As such, ATRT3 suggests:

- Similar to Reviews and the implementation of Review recommendations, ICANN should provide a centralized system to track the development, approval, and implementation of policy by the SOs.

- Additionally, ICANN should, in a similar fashion to its Action Request Registry for ACs, institute a section on its website to track requests and communications from SOs and associated follow-on actions if any are required.

3.3.3. ATRT2 Recommendation 5: The Board should review redaction standards for Board documents, Document Information Disclosure Policy (DIDP), and any other ICANN documents to create a single published redaction policy. Institute a process to regularly evaluate redacted material to determine if redactions are still required and, if not, ensure that redactions are removed.

Conclusion: ATRT3 believes that the recommendation which says “...review redaction standards for Board documents, Document Information Disclosure Policy (DIDP) and any other ICANN documents to create a single published redaction policy. Institute a process to regularly evaluate redacted material to determine if redactions are still required and if not, ensure that redactions are removed,” has not been implemented. As such, ATRT3 suggests completing the implementation of a single unified redaction policy as well as the adoption and adherence to effective processes in support of the requirements of the recommendation.

3.3.4. ATRT2 Recommendation 9.1: Proposed Bylaws change recommended by the ATRT2 to impose a requirement on the ICANN Board to acknowledge advice arising from any of ICANN's Advisory Committees.

Conclusion: The Action Request Register is a good step towards meeting the intent of this recommendation. Setting minimum times for the Board to respond to advice from SO/ACs is challenging as implementing some advice requires time and resources which are usually not specified in the advice provided and often require ICANN to undertake an appropriate evaluation to produce an implementation plan. This being said, the recommendation required “ICANN Board to acknowledge advice arising from any of ICANN's Advisory Committees,” which the [Board Advice](#) web page does using the “Board Advice Register Phases and Descriptions.” As such, there is no need in the current context for a Bylaws change. A suggestion for improvement is that ICANN implement a maximum time to provide an initial assessment of recommendations which require action that are made to the Board by the SO/ACs.

3.3.5. ATRT2 Recommendation 10.5: The Board must facilitate the equitable participation in applicable ICANN activities of those ICANN stakeholders who lack the financial support of industry players.

Conclusion: This is obviously a major recommendation which has met with some success. The ATRT3 suggests to keep this objective alive with a continuing enhancement.

3.3.6. Survey Question: Please indicate your satisfaction with the Board's performance overall.

Analysis: Individual responses of 55% very satisfied or satisfied vs. 28% somewhat dissatisfied or very dissatisfied for a net of 27% very satisfied or satisfied is similar to the Structure responses. This is a weak show of support.

Conclusion: The net of 27% which are satisfied or very satisfied is weak and ATRT3 will be making a suggestion to address this.

This, at least in part, is related to ATRT2 Recommendation 2 which recommended, *“The Board should develop metrics to measure the effectiveness of the Board's functioning and improvement efforts, and publish the materials used for training to gauge levels of improvement”*. This was assessed by ATRT3 as only partially implemented and impossible to assess the effectiveness given there were no effective metrics provided.

As such ATRT3 makes the same suggestions here as it did in the conclusion of the assessment of ATRT2 Recommendation 2:

- The Board should establish the same targets it uses for publishing agendas and minutes of Board meetings for the agendas and minutes of all its official committees and publish these in the Accountability Indicators.
- All of these relevant indicators of Board performance should be grouped in a single area of the Accountability Indicators.
- Board minutes should indicate how members voted, including in Executive Sessions.
- Board minutes should include, in addition to the rationale, summaries of the main discussion points covered prior to taking votes.

3.3.7. Survey Question: How does your Structure feel regarding the Board's interaction with your SO/AC? (Question only for Structures)

Analysis: The 40% somewhat dissatisfied or very dissatisfied indicates that there is an issue. All of the written comments were from either GNSO or RALOs.

Conclusion: ATRT3 notes that the dissatisfaction is associated with SOs and ACs that have formal sub-structures associated with them.

ATRT3 will make a suggestion with respect to the issues raised in this section.

3.3.8. Survey Question: Do you consider the diversity amongst Board members satisfactory?

Analysis: Individual responses were essentially split but Structures with 64% no response indicates a significant issue.

Conclusion: There is obviously a significant and widespread concern amongst the ICANN community regarding diversity given 48% of individuals and 64% of Structures did not consider the diversity of the Board satisfactory. ATRT3 will make a suggestion regarding Board Diversity and should consider referencing the CCWG-Accountability WS2 recommendations on diversity.

3.3.9. Survey Question: Rate the mechanisms ensuring the Board's transparency.

Analysis: Individual responses of 43% satisfied or very satisfied vs. 37% somewhat dissatisfied or very dissatisfied produces a net of 6% satisfied or very satisfied which is extremely weak.

Structure responses of 57% satisfied or very satisfied vs. 14% somewhat dissatisfied or very dissatisfied producing a net of 43% satisfied or very satisfied which shows very good support.

However, the individual question "Do you think the mechanisms ensuring Board transparency need to be improved?" had responses of 80% requiring improvements to Board transparency. This is significant when coupled with the comments from the IPC and RySG.

Conclusion: See ATRT2 Recommendation 2.

3.3.10. Survey Question: Are you satisfied with the Board's decision-taking process?

Analysis: Individual responses of 56% yes vs. 44% no produces a net of 12% yes, which is very weak.

Structure responses of 58% yes vs. 42% no produces a net of 16% yes, which is also very weak.

Conclusion: See ATRT2 Recommendation 2

3.3.11. Survey Question: Are you aware of the training program for the Board members?

Analysis: What is important to note is the inversion of responses between individuals (38% yes vs. 62% no) and Structures (73% yes vs. 27% no).

Conclusion: Obviously there is an awareness issue with respect to this topic for individuals in the community. ATRT3 will make a suggestion to address this.

3.3.12. Survey Question: Are you satisfied with the financial information that is provided to the public by ICANN?

Analysis: What is important to note is the inversion of responses between individuals and Structures.

Conclusion: The Structures responses of 31% of somewhat dissatisfied or very dissatisfied is concerning.

ATRT2 Recommendations 12.1 and 12.4 are directly related to this topic. The effectiveness assessments for both of these recommendations noted that, *“Providing information which the average member of the community could understand easily and comment on effectively with only the requirement of investing a few hours would go a long way to increasing the Transparency and Accountability of the process.”*

Additionally, the CCWG-Accountability WS2 made some recommendations which are related to this in its Transparency section. The comments provided by the respondents to this survey question include some good suggestions.

As such ATRT3 will make a suggestion with respect to the issues raised by the responses to this question.

3.3.13. Survey question: Do you believe the information ICANN makes available on the icann.org website should be better organized to facilitate searching for specific topics?

Analysis: Individuals responded 82% yes while Structures responded 100% yes.

Conclusion: ATRT3 notes that the [Information Transparency Initiative \(ITI\) Update](#) that it was provided presents a good summary of activities to date and notes that: *“Soft launch of the new site expected in FY20 Q4 with the full site available by FY21 Q1. More details are available here: <https://www.icann.org/news/blog/keeping-you-informed-an-update-on-the-information-transparency-initiative>”*.

Given the launch of the new system is due at about the same date the ATRT3 final report is due, ATRT3 will not be able to comment on the effectiveness of this initiative. As such, ATRT3 will not be making any recommendations or suggestions on this issue. However, ATRT3 suggests that the next ATRT (or equivalent review) evaluate the results of the implementation of the ITI initiative.

3.4. Suggestions Related to issues

3.4.1. ATRT2 Recommendation 2

Given the results of the ATRT3 [survey](#) show limited satisfaction on Board performance, transparency and decision taking the ATRT3 suggests:

- The Board should establish the same targets it uses for publishing agendas and minutes of Board meetings for the agendas and minutes of all its official committees and publish these in the Accountability Indicators.
- The Board should show the date of publication of materials on the Board website instead of only in the materials themselves.
- All of these relevant indicators of Board performance should be grouped in a single area of the Accountability Indicators.
- Board minutes should indicate how members voted, including in Executive Sessions.
- Board minutes should include, in addition to the rationale, summaries of the main discussion points covered prior to taking votes.

3.4.2. ATRT2 Recommendation 4

ATRT3 suggests that similarly to Reviews and the implementation of Review recommendations, ICANN should provide a centralized system to track the development, approval and implementation of policy by the SOs.

Additionally, ICANN should, in a similar fashion to its Action Request Registry for ACs, institute a section on its website to track requests and communications from SOs and associated follow-on actions if any are required

3.4.3. ATRT2 Recommendation 5

Given ATRT3 has assessed ATRT2 Recommendation 5 as not implemented, ATRT3 strongly suggests that the implementation of a single unified redaction policy be completed, as well as

the adoption and adherence to effective processes in support of the requirements of the recommendation.

3.4.4. ATRT2 Recommendation 9.1

ATRT3 suggests that the Board implement a maximum time to provide an initial assessment of recommendations made by SO/ACs which require action.

3.4.5. ATRT2 Recommendation 10.5

ATRT3 suggest that ICANN continue to support and enhance the following programs (among others): Fellowship, NextGen, ICANN Academy Leadership Programs, and CROP. ICANN should also continue to improve the options for remote participation, including captioning.

3.4.6. Survey Question: How does your Structure feel regarding the Board's interaction with your SO/AC? (Question only for Structures)

ATRT3 suggests that the Board should take concrete steps to ensure that Board members continue to regularly meet with the community at ICANN meetings, including the sub-components of the GNSO and At-Large, but that these interactions be less formal and allow sufficient time for a true dialogue on questions of interest to those community members.

3.4.7. Survey Question: Do you consider the diversity amongst Board members satisfactory?

Given the Bylaws specify how voting Board members are selected (SO/ACs nominated, EC confirmed, and NomCom) it would be difficult for ATRT3 to recommend modifying this delicate balance without launching a major process to formally study this.

As such, ATRT3 suggests that the SOs and ACs that nominate voting Board members to the ICANN Board, voluntarily consider their nominations based on crucial aspects of Board diversity, giving particular attention to gender criteria.

Additionally, ATRT3 notes that the Empowered Community should consider the Bylaws requirements on diversity when considering the confirmation of Board members.

3.4.8. Survey Question: Are you aware of the training program for the Board members?

ATRT3 strongly suggests that once ATRT3's suggestions related to ATRT2 Recommendation 2 are implemented, the Board undertake a communications exercise to familiarize the community with these new processes and its training program.

3.4.9. Survey Question: Are you satisfied with the financial information that is provided to the public by ICANN?

Regarding communicating budget information to the community, especially for Public Comment proceedings, ATRT3 suggests that the Board and ICANN org:

- Adhere to the suggestions regarding Public Comments made in this report relative to public consultations.
- Tailor budget information for SO/ACs so that they can easily understand budgeting relative to SO/ACs.
- A clear rationale in simple language explaining key decisions should be included in these materials.

3.4.10. Survey question: Do you believe the information ICANN makes available on the icann.org website should be better organized to facilitate searching for specific topics?

ATRT3 suggests that the next ATRT (or equivalent review) evaluate the results of the implementation of the ITI initiative.

3.5. Recommendations to Address Issues (none)

4. Issue 2 – Governmental Advisory Committee (GAC)

4.1. Introduction

4.1.1. Per ICANN Bylaws Section 4.6(b)(ii)(B): “Assessing the role and effectiveness of the GAC’s interaction with the Board and with the broader ICANN community, and making recommendations for improvement to ensure effective consideration by ICANN of GAC input on the public policy aspects of the technical coordination of the DNS”.

4.2. Information Gathering

4.2.1. Relevant ATRT2 Recommendations

4.2.1.1. Prologue

It is important to understand the special nature of the GAC when considering how ATRT3 assessed the implementation and effectiveness of the ATRT2 recommendations for the GAC.

The GAC is composed of government representatives who are, for the most part, participating as official representatives of their respective governments. These representatives are subject to a number of expectations as to how they can interact with the ICANN community and can rarely commit their governments to anything without prior formal authorization.

Additionally, these government representatives are trained to function in certain ways when participating in international forums like ICANN and most require the GAC to function in similar fashion.

The recommendations ICANN makes for the GAC via such processes as the ATRT reviews may have limited applicability or may have to be adapted to fit into the GAC context.

4.2.1.2. Summary of Assessments

ATRT3 performed an assessment of each of the ATRT2 recommendations listed in this section relative to implementation and effectiveness. These assessments can be found in Annex A of this report.

The table below presents a summary of these assessments and if ATRT3 is proposing a suggestion or recommendation.

ATRT2 Recommendation	ATRT3 Implementation Assessment	ATRT3 Effectiveness Assessment	ATRT3 Suggestion or Recommendation
6.1. a	Partially Implemented	Not Effective	No (please see analysis for details)
6.1. b	Implemented	Effective	No
6.1.c	Implemented	Effective	No
6.1. d	Implemented	Effective	Suggestion
6.1. e	Implemented	Effective	No
6.1. f	Implemented	Effective	No
6.1. g	Implemented	Effective	No
6.1.h	Partially Implemented	Partially Effective	Suggestion
6.2	Implemented	Effective	No
6.3	Implemented	Effective	No
6.4	Implemented	Effective	No
6.5	Implemented	Insufficient Information	No
6.6	Partially Implemented	Partially Effective	Suggestion
6.7	Implemented	Effective	No
6.8	Implemented	Effective	No
6.9	Implemented	Effective	No

4.2.2. ATRT3 Survey - Summary of Results

ATRT3 undertook a [survey](#) of the community with two surveys, one for individuals and another for Structures (SO/ACs and their component parts). The questions from the survey, the responses, comments from respondents, and the analysis of these results can be found in Annex B of this report.

The table below presents a summary of these results and indicates if ATRT3 is proposing a suggestion or recommendation.

Survey Question	Analysis	ATRT3 Suggestion or Recommendation
Should GAC accountability be improved?	Roughly consolidating responses from Structures and individuals gives 69% in favor of improving GAC accountability vs. 24% for not doing so or minor improvements giving a net of 45% in favor of improving GAC accountability. This is considered very good.	Suggestion
Should GAC transparency be improved?	Roughly consolidating responses from Structures and individuals give 55% for improving GAC accountability vs. 40% for not doing so or minor improvements giving a net of 15% in favor of improvements to accountability. This is very weak.	No
In your view are you satisfied with the interactions the GAC has with the Board?	Individual responses were 42% satisfied or very satisfied vs. 35% dissatisfied or very dissatisfied giving a net of 7% for being satisfied or very satisfied which is extremely weak. Structures responses were 64% satisfied or very satisfied vs. 0% dissatisfied or very dissatisfied giving a net of 64% being satisfied or very satisfied which is very strong.	Suggestion

In your view are you satisfied with the interactions the GAC has with the SO/ACs?	<p>Individual responses were 45% satisfied or very satisfied and 38% dissatisfied or very dissatisfied giving a net of 7% for being satisfied or very satisfied which is extremely weak.</p> <p>Structures responses were 71% satisfied or very satisfied vs. 14% dissatisfied or very dissatisfied producing a net of 57% being satisfied or very satisfied which is strong.</p>	Suggestion

4.2.3. Other Information

4.2.3.1. ICANN65 Interviews with GAC - (see Annex C of this document)

4.3. Analysis of Information and Identification of Issues

4.3.1. ATRT2 Recommendation 6.1.D: Considering whether and how to open GAC conference calls to other stakeholders to observe and participate, as appropriate. This could possibly be accomplished through the participation of liaisons from other ACs and SOs to the GAC, once that mechanism has been agreed upon and implemented;

Conclusion: Overall this recommendation is implemented and effective when considering that it was an unrealistic expectation that GAC conference calls could be open to all given the current number of GAC members. The effectiveness is directly related to the quality of the liaisons that are appointed to the GAC. ATRT3 will be suggesting that the GAC publish a short list of suggested qualities or requirements for liaisons to assist SO/ACs to select the best candidates to be GAC liaisons. Another suggestion could be to provide training to liaisons.

4.3.2. ATRT2 Recommendation 6.1.H: When deliberating on matters affecting particular entities, to the extent reasonable and practical, give those entities the opportunity to present to the GAC as a whole prior to its deliberations.

Conclusion: Overall the implementation and effectiveness are currently satisfactory. However, ATRT3 will be suggesting that the GAC engage in continuous improvement in its relations with SO/ACs to increase the effectiveness of those interactions via early engagement whenever possible.

4.3.3. Recommendation 6.6: ATRT2 recommends that the Board work jointly with the GAC, through the BGRI working group, to identify and implement initiatives that can remove barriers for participation, including language barriers, and improve understanding of the ICANN model and access to relevant ICANN information for GAC members. The BGRI working group should consider how the GAC can improve its procedures to ensure a more efficient, transparent and inclusive decision-making. The BGRI working group should develop GAC engagement best practices for its members that could include issues such as: conflict of interest; transparency and accountability; adequate domestic resource commitments; routine consultation with local Domain Name System (DNS) stakeholder and interest groups; and an expectation that positions taken within the GAC reflect the fully coordinated domestic government position and are consistent with existing relevant national and international laws.

Conclusion: First one should recognize the significant improvements that have been made by the GAC since the ATRT2 recommendations were made. Additionally, it should also be noted that this type of recommendation implies more of a continuous improvement process rather than a single outcome.

As such ATRT3 suggests that the GAC continue with these improvements.

4.3.4. Survey Question: Should GAC accountability be improved?

Analysis: Roughly consolidating responses from Structures and individuals gives 69% in favor of improving GAC accountability vs. 24% for not doing so, or minor improvements, giving a net of 45% in favor of improving GAC accountability which shows very good support for this.

Conclusion: ATRT3 will make suggestions regarding the issues surrounding liaisons and the clarity of the GAC communique.

4.3.5. Survey Question: In your view are you satisfied with the interactions the GAC has with the Board?

Analysis: Individual responses were 42% satisfied or very satisfied vs. 35% dissatisfied or very dissatisfied giving a net of 7% for being satisfied or very satisfied which is extremely weak.

Structures responses were 64% satisfied or very satisfied vs. 0% dissatisfied or very dissatisfied giving a net of 64% being satisfied or very satisfied which is very strong.

Conclusion: Results would seem to indicate that Structures have been following the recent evolution of the GAC-Board relationship more closely than individual members of the community. There have been significant improvements as presented in the GAC comment which would align with the Structures very strong net of 64% being satisfied or very satisfied. ATRT3 will make a suggestion asking the Board and GAC to better communicate the recent improvements in their relationship.

4.3.6. Survey Question: In your view are you satisfied with the interactions the GAC has with the SO/ACs?

Analysis: Individual responses were 45% satisfied or very satisfied and 38% dissatisfied or very dissatisfied giving a net of 7% for being satisfied or very satisfied which is extremely weak.

Structures responses were 71% satisfied or very satisfied vs. 14% dissatisfied or very dissatisfied producing a net of 57% being satisfied or very satisfied which is strong.

Conclusion: Overall it would seem that SO/AC interactions with the GAC are rated very positively by the SO/ACs. This being said, the RySG concerns are noted and follow-on suggestions from ATRT3's assessment of the ATRT2 recommendations relevant to this could help improve the situation.

4.4. Suggestions with Respect to Issues

4.4.1. ATRT2 Recommendation 6.1.D

4.4.1.1. ATRT3 suggests that the GAC publish a short list of suggested qualities or requirements for liaisons to assist SO/ACs to select the best candidates to be GAC liaisons.

4.4.1.2. ATRT3 suggests that the GAC, in conjunction with ICANN, should provide orientation for liaisons to the GAC so they understand the environment of the GAC as well as the expectations for liaisons.

4.4.2. ATRT2 Recommendation 6.1.H

ATRT3 suggests that the GAC continue to commit to its improvement efforts focusing on ensuring early engagement with relevant SOs and ACs on matters of importance to the GAC.

4.4.3. ATRT2 Recommendation 6.6

ATRT3 suggests that the GAC continue with improvements in this area.

4.4.4. Survey Question: Should GAC accountability be improved?

ATRT3 suggests that the GAC, in addition to suggestions 4.4.1.1 and 4.4.3, pursue its continuous improvement efforts and focus on making the GAC communicate clearer. This would facilitate the community's ability to take in GAC advice and properly consider it in the context of any relevant ongoing work.

4.4.5. Survey Question: In your view are you satisfied with the interactions the GAC has with the Board?

ATRT3 suggests that the GAC and the Board develop joint messaging about the current state of their interactions and the mechanisms which support these.

4.4.6. Survey Question: In your view are you satisfied with the interactions the GAC has with the SO/ACs?

ATRT3 suggests that the GAC, considering the success of the current mechanisms that are in place for interacting with the Board, work with the GNSO to implement similar mechanisms to facilitate interactions between the GAC and the GNSO.

4.5. Recommendations to Address Issues (none)

5. Issue 3 - Public Input

5.1. Introduction

5.1.1. Per ICANN Bylaws Section 4.6(b)(ii)(C): “Assessing and improving the processes by which ICANN receives public input (including adequate explanation of decisions taken and the rationale thereof)”.

5.2. Information Gathering

5.2.1. Relevant ATRT2 Recommendations - Summary of Assessments

ATRT3 performed an assessment of each of the ATRT2 recommendations listed in this section relative to implementation and effectiveness. These assessments can be found in Annex A of this report.

The table below presents a summary of these assessments and if ATRT3 is proposing a suggestion or recommendation.

ATRT2 Recommendation	ATRT3 Implementation Assessment	ATRT3 Effectiveness Assessment	ATRT3 Suggestion or Recommendation
7.1	Implemented	Partially Effective	No
7.2	Implemented	Not Effective	No
8	Partially Implemented	Insufficient Information	Suggestion

5.2.2. ATRT3 Survey - Summary of Results

ATRT3 undertook a [survey](#) of the community with two surveys, one for individuals and another for Structures (SO/ACs and their component parts). The questions from the survey, the responses, comments from respondents and the analysis of these results can be found in Annex B of this report.

The table below presents a summary of these results and indicates if ATRT3 is proposing a suggestion or recommendation.

Survey Question	Analysis	ATR3 Suggestion or Recommendation
<p>Please rate how effective the current system of Public Comment consultations is for gathering community input.</p>	<p>Individual responses to the first question were 50% Effective or very effective vs. 48% which rate it as somewhat ineffective or ineffective producing a net of 2% effective or very effective which is an extremely low indication of effectiveness.</p> <p>Structure responses to the first question were 70% effective or very effective vs. 31% somewhat ineffective or ineffective producing a net of 39% effective or very effective which is a good indication of effectiveness.</p> <p>Individual responses to the second question were 88% in favor of re-examining the concept of Public Comments vs. 12% against producing a net of 76% in favor which shows extremely strong support in favor of re-examining.</p> <p>Structure responses to the second question were 57% in favor of re-examining the concept of Public Comments vs. 43% against producing a net of 14% in favor which shows very weak support in favor of re-examining.</p> <p>This dichotomy clearly indicates a gap between individuals and structures when it comes to public consultations.</p>	<p>Suggestion</p>

Have you (or a group you directly contribute to) responded to a Public Comment consultation in the last year?	<p>82% of Individual respondents have responded to at least one Public Comment in the last year which is impressive but this is only from 40 individuals and may not be representative of the community as a whole.</p> <p>73% of Structure respondents have responded to 2 or more public consultations. However, one has to consider that in many cases SO/ACs will respond for their constituent bodies which are included in Structures.</p>	No
Would your Structure respond more often to Public Comments if the consultation included short and precise questions regarding the subject matter in a Survey Monkey or similar format?	<p>The Structure results do not provide any indication either way given they are split 34% Agree or Strongly Agree, 40% no Opinion and 27% Disagree or Strongly Disagree producing a net of 7% in Agree or Strongly Agree which is extremely weak.</p> <p>The Individual results on the other hand provide a very clear indication with 82% Agree or Strongly Agree vs. 10% Disagree or Strongly Disagree producing a net of 72% Agree or Strongly Agree which is very strong.</p>	Suggestion
Should the responses made to Public Comments by individuals and external organizations/groups be considered equally?	<p>What is striking about the responses to this question is the mirror duality between individuals and Structures. 68% of individuals Agree or Strongly Agree that all comments should be considered equally vs. 38% of</p>	No

	<p>Structures. Inversely 53% of Structures Disagreed or Strongly Disagreed vs. 26% for Individual respondents.</p> <p>This gives us for individuals a net of 42% Agree or Strongly Agree vs. a net of 15% Disagree or Strongly Disagree for structures which is strong dichotomy between individuals and Structures.</p>	
<p>Should the responses made to Public Comments by SO/ACs have more weight than other comments?</p>	<p>Individual responses do not provide any significant information with 48% who Strongly Agree or Agree vs. 42% which Disagree or Strongly Disagree for a net of 6% Strongly Agreeing or Agreeing which is extremely weak.</p> <p>Structures results however, paint quite a different picture with 64% who Agree or Strongly Agree vs. 21% which Disagree or Strongly Disagree producing a net of 43% Agree or Strongly Agree which is a very good result.</p>	<p>No</p>
<p>Should the responses made to Public Comments by the Board have more weight than other comments?</p>	<p>Individual responses of 35% who Strongly Agree or Agree vs. 49% which Disagree or Strongly Disagree for a net of 14% Disagree or Strongly Disagree which is very weak.</p> <p>Structures responses of 20% who Agree or Strongly Agree vs. 40% which Disagree or Strongly Disagree producing a net of 20% Disagree or Strongly Disagree which is also very weak.</p>	<p>No</p>

<p>How useful are staff reports on Public Comments?</p>	<p>Individual responses of 72% who found these very Useful or somewhat Useful vs. 16% which found these somewhat Not Useful or Not Useful for a net of 56% who found these very Useful or somewhat Useful which is a strong result.</p> <p>Structures responses of 93% who found these very Useful or somewhat Useful vs. 0% which found these somewhat Not Useful or Not Useful for a net of 93% who found these very Useful or somewhat Useful which is near absolute support.</p>	<p>No</p>
<p>Do you agree that staff reports on Public Comments clearly indicate if suggestions made by the commenters were accepted and how they were accepted?</p>	<p>Individual results are neutral with 43% Agreeing or Strongly Agreeing vs. 41% Disagreeing or Strongly Disagreeing producing a net of 2% Agreeing or Strongly Agreeing which is extremely weak.</p> <p>Structure results of 53% who Disagree or Strongly Disagree vs. 34% who Agree or Strongly Agree producing a net of 19% Disagree or Strongly Disagree which is very weak.</p>	<p>No</p>
<p>Do you agree that staff reports on Public Comments clearly indicate if suggestions made by the commenters were rejected and why they were rejected?</p>	<p>Individual results are neutral with 42% Agreeing or Strongly Agreeing vs. 36% Disagreeing or Strongly Disagreeing for a net of 6% agreeing which is extremely weak.</p> <p>Structure results of 53% who Disagree or Strongly Disagree vs. 34% who Agree or Strongly Agree producing a net of 19% Disagree or Strongly Disagree which is very weak.</p>	<p>No</p>

5.2.3. Other Information

Public Comments vs. other public input methods.

The Public Comment Guidelines for the ICANN Organization²⁷ provide an excellent starting point for this consideration:

“Public Comment is a mechanism that gives the ICANN community and other stakeholders an opportunity to provide input and feedback on ICANN's work. It ensures ICANN and its community "operate to the maximum extent feasible in an open and transparent manner and consistent with procedures designed to ensure fairness" per the ICANN Bylaws.

The ICANN organization (ICANN org) recently adopted internal guidelines for Public Comment that clarify its purpose and define when it should be implemented. The internal guidelines codify current Public Comment practice for the benefit of ICANN org.

According to the internal guidelines, Public Comment will continue to apply to the following categories:

- ICANN org or community governance documents such as the ICANN Bylaws, operating procedures, and community charters.
- Policy recommendations including reports (draft, initial, and final) of potential, ongoing, and completed policy development processes.
- Organizational reviews and specific reviews recommendations.
- Implementation plans for policy and specific reviews recommendations.
- Cross-community working group recommendations.
- ICANN org base agreements with registry operators and registrars.
- Documents that impact community policy, recommendations, or advice.

I would also like to highlight three points from the internal guidelines:

- Public Comment is the default mechanism when seeking feedback from the ICANN community or general public.
- There may be circumstances where an alternative to Public Comment may be more appropriate. Alternative mechanisms include consultations or surveys for more targeted audiences and must be approved by ICANN org executive team members.

²⁷ <https://www.icann.org/news/blog/public-comment-guidelines-for-the-icann-organization>

- Announcements, blog posts, social media campaigns, regional newsletters, and mailing lists will not be used as mechanisms for collecting feedback.

ICANN org supports the work of the community by managing Public Comment as a consistent and effective feedback mechanism. We hope the internal guidelines contribute to the accountability and transparency commitments of ICANN org.

To stay up to date on Public Comment proceedings, please visit our Upcoming Public Comment Proceedings webpage which is updated on a monthly basis. The Public Comment team also publishes an annual report of Public Comment trends; I encourage you to read the findings from the last nine years.

As ICANN evolves, the Public Comment process will adapt as well. The Public Comment team has been working with the Information Transparency Initiative team to develop an improved Public Comment feature based on input from the ICANN community. We look forward to testing it in early 2020.

As always, the Public Comment team is available to answer questions at public-comment@icann.org.”

5.3. Analysis of Information and Identification of Issues

5.3.1. ATRT2 Recommendation 8 - To support public participation, the Board should review the capacity of the language services department versus the community need for the service using Key Performance Indicators (KPIs) and make relevant adjustments such as improving translation quality and timeliness and interpretation quality. ICANN should implement continuous improvement of translation and interpretation services including benchmarking of procedures used by international organizations such as the United Nations.

Conclusion: Some significant improvements have been implemented to the benefit of the community, but the establishment of effective measurements seems to be an ongoing issue (see section on Accountability Indicators). ATRT3 will make a suggestion with respect to its assessment of this recommendation.

5.3.2. Survey Question - Please rate how effective the current system of Public Comment consultations is for gathering community input.

Analysis: Individual responses to the first question were 50% effective or very effective vs. 48% which rate it as somewhat ineffective or ineffective

producing a net of 2% effective or very effective which is an extremely low indication of effectiveness.

Structure responses to the first question were 70% effective or very effective vs. 31% somewhat ineffective or ineffective producing a net of 39% effective or very effective which is a good indication of effectiveness.

Individual responses to the second question were 88% in favor of re-examining the concept of Public Comments vs. 12% against producing a net of 76% in favor which shows extremely strong support in favor of re-examining.

Structure responses to the second question were 57% in favor of re-examining the concept of Public Comments vs. 43% against producing a net of 14% in favor which shows very weak support in favor of re-examining.

This dichotomy clearly indicates a gap between individuals and structures when it comes to Public Comment proceedings.

Conclusion: The objective of a Public Comment proceedings is to allow as many members of the community as possible to contribute so the results are an effective representation of the community's views on the matter published for Public Comment.

These results clearly indicate that there is a portion of the community which has issues with how effective Public Comment proceedings are and that the concept should be reviewed.

ATRT3 accepts that the responses to these questions have flagged some serious issues which it will consider in its suggestions on Public Comments.

5.3.3. Survey Question - Would your Structure respond more often to Public Comments if the consultation included short and precise questions regarding the subject matter in a Survey Monkey or similar format?

Analysis: The Structure results do not provide any indication either way given they are split 34% Agree or Strongly Agree, 40% no Opinion and 27% Disagree or Strongly Disagree producing a net of 7% in Agree or Strongly Agree which is extremely weak.

The Individual results on the other hand provide a very clear indication with 82% Agree or Strongly Agree vs. 10% Disagree or Strongly Disagree producing a net of 72% Agree or Strongly Agree which is very strong.

Conclusion: ATRT3 accepts that the responses to these questions show very strong support for this option by Individual respondents which it will consider in its recommendations or suggestions on Public Comments.

5.3.4. Other Input - Public Comments vs. other public input methods.

Conclusion: ATRT3 understands that the Public Comment Guidelines for the ICANN Organization specify what subjects must undertake Public Comment processes, that “Public Comment is the default mechanism when seeking feedback from the ICANN community or general public,” and that “Announcements, blog posts, social media campaigns, regional newsletters, and mailing lists will not be used as mechanisms for collecting feedback”.

However, ATRT3 has a significant concern that there exists a major transparency and accountability gap between the highly formalized Public Comment process and the alternative mechanisms for gathering public input such as a public consultation, which have few if any rules beyond requiring executive approval.

These include:

- Lack of formal guidelines to identify if topics which do not specifically require Public Comment processes should use the Public Comment process or an alternative mechanism.
- The ability of the community to easily track when alternative mechanisms, specifically consultations, have been used instead of a Public Comment proceeding.
- The ability of the community to easily find and see the results of alternative mechanism that have been used.
- Why are the complete Public Comment Guidelines for the ICANN Organization not made available on the ICANN website instead of an extract?

- Why do blog posts on [icann.org](https://www.icann.org) collect feedback information²⁸ when the Public Comment Guidelines for the ICANN Organization state that they “will not be used as mechanisms for collecting feedback”?

As such ATRT3 will be making some strong recommendations regarding these issues.

5.4. Suggestions with Respect to Issues.

5.4.1. ATRT2 Recommendation 8

Given ATRT2 Recommendation 8 was not completely implemented, ATRT3 strongly suggests that ICANN perform and publish some type of quality measurements with respect to its language services. These could include, for example, regular user satisfaction surveys at ICANN meetings for interpretation and obtaining a rating as to the quality of the translation of documents from members of the community who use these translated documents.

5.4.2. Survey Questions:

- **Please rate how effective the current system of Public Comment consultations is for gathering community input.**
- **Would your Structure respond more often to Public Comments if the consultation included short and precise questions regarding the subject matter in a Survey Monkey or similar format?**

ATRT3 recognizes that the number of Individual respondents to its survey do not represent a statistically significant sample. ATRT3 further recognizes that allowing respondents to only respond to survey type questions could easily open the door to abuse of the Public Comment process.

This being said, ATRT3 also recognizes that individuals, especially those whose mother tongue is not English or who lack detailed technical knowledge, may find it challenging to provide meaningful input on long and often complex documents that are published for Public Comment only in English, and where key elements to comment on may be difficult to identify without reading the entire document.

²⁸ An example of this is <https://www.icann.org/news/blog/chair-s-blog-icann66-meeting-board-workshop>

Considering all of the above, ATRT3 strongly suggests that Public Comments not only seek general input on entire documents but also:

- Clearly identify who the intended audience is (general community, technical community, Legal experts etc.). This will allow potential respondents to quickly understand if they wish to invest the time to produce comments. This is not meant to prevent anyone from commenting but is rather meant as clarifying who is best suited to comment.
- Each Public Comment proceeding should provide a clear list of precise key questions in plain language that the public consultation is seeking answers to from its intended audience.
- Where appropriate and feasible translations of a summary and precise key questions should be included in the Public Comment proceeding which could also allow for responses in the official ICANN languages.
- Results of these questions should be included in the staff report on the Public Comment proceeding.

5.4.3. Other Input - Public Comments vs. other public input methods.

ATRT3 strongly suggests that:

- For those topics which do not specifically require a Public Comment process to gather community input ICANN org should develop and publish guidelines to assist in determining when a Public Comment process is required vs. alternate mechanisms for gathering input.
- ICANN org should develop guidelines for how alternative mechanisms for gathering input should operate including producing final reports.
- ICANN org should develop a system similar to, and integrated with, the Public Comment tracking system which would show all uses of alternate mechanisms to gather input including results and analysis of these.
- ICANN org should publish the complete 'Public Comment Guidelines for the ICANN Organization'.
- ICANN org should explain why its blog posts collect feedback information when the 'Public Comment Guidelines for the ICANN Organization' state that they "will not be used as mechanisms for collecting feedback".

5.5. Recommendations and Suggestions to Address Issues (none)

6. Issue 4 - Acceptance of ICANN Decisions

6.1. Introduction

6.1.1. Per ICANN Bylaws Section 4.6(b)(ii)(D): “Assessing the extent to which ICANN's decisions are supported and accepted by the Internet community.”

6.2. Information Gathering

6.2.1. Relevant ATRT2 Recommendations and Analysis (none)

6.2.2. ATRT3 Survey - Summary of Results

ATRT3 undertook a [survey](#) of the community with two surveys, one for individuals and another for Structures (SO/ACs and their component parts). The questions from the survey, the responses, comments from respondents and the analysis of these results can be found in Annex B of this report.

The table below presents a summary of these results and indicates if ATRT3 is proposing a suggestion or recommendation.

Survey Question	Analysis	ATRT3 Suggestion or Recommendation
Please rate how effective the current system of Public Comment consultations is for gathering community input.		Suggestion
Do you believe the Internet community generally supports the decisions made by the Board?	Individual responses of 62% yes vs. 38% no producing a net of 24% which is weak but still positive. Structure responses of 82% yes vs. 18% no producing a net of 64% is very strong.	No

Do you generally support the decisions made by the Board?	<p>Individual responses of 63% supporting vs. 22% not supporting produces a net of 41% in support which shows very good support.</p> <p>Structure responses of 83% supporting vs. 0% not supporting produces a net of 83% in support which shows extremely strong support.</p>	No
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6.2.3. Other Information (None)

6.3. Analysis of Information and Identification of Issues

As the analysis of the survey responses clearly indicate, there is widespread support for decisions made by the Board. As such ATRT3 will not be making any recommendations or suggestions with respect to this issue.

6.4. Suggestions with Respect to Issues (none)

6.5. Recommendations to Address Issues (none)

7. Issue 5 - Policy Development Process (PDP)

7.1. Introduction

7.1.1. Per ICANN Bylaws Section 4.6(b)(ii)(E): “Assessing the policy development process to facilitate enhanced cross community deliberations, and effective and timely policy development”.

7.2. Information Gathering

7.2.1. Relevant ATRT2 Recommendations - Summary of Assessments

ATRT3 performed an assessment of each of the ATRT2 recommendations listed in this section relative to implementation and effectiveness. These assessments can be found in Annex A of this report.

The table below presents a summary of these assessments and if ATRT3 is proposing a suggestion or recommendation.

ATRT2 Recommendation	ATRT3 Implementation Assessment	ATRT3 Effectiveness Assessment	ATRT3 Suggestion or Recommendation
10.1	Partially Implemented	Partially Effective	Strong Suggestion
10.2	Partially Implemented	Insufficient Information	No
10.3	Implemented	Partially Effective	Strong Suggestion
10.4	Not Implemented	Not Applicable	Strong Suggestion

7.2.2. ATRT3 Survey - Summary of Results

ATRT3 undertook a [survey](#) of the community with two surveys, one for individuals and another for Structures (SO/ACs and their component parts). The questions from the survey, the responses, comments from respondents and the analysis of these results can be found in Annex B of this report.

The table below presents a summary of these results and indicates if ATRT3 is proposing a suggestion or recommendation.

Survey Question	Analysis	ATRT3 Suggestion or Recommendation
<p>Have you participated in or contributed to any Policy Development Process?</p>	<p>It is interesting that 69% of individual respondents said that had participated in a PDP. One must assume that individuals who participate in PDP's are also more likely to respond to this type of survey vs. those who do not creating a certain amount of bias.</p> <p>Difficulties encountered by individuals. It is interesting to note that those who participated in a PDP and those who did not both rated the Time Required as the top issue followed by the Level of Knowledge and the Scope being too large.</p> <p>With regards to the question on rating the transparency of the process 62% were satisfied or very satisfied vs. 24% were somewhat dissatisfied or very dissatisfied producing a net of 38% satisfied or very satisfied which is weak.</p> <p>With regards to the question on rating the accountability of the process 62% rated it as accountable or somewhat</p>	<p>No</p>

	accountable vs. 18% rating it as somewhat Not accountable or Not accountable producing a net of 44% accountable or somewhat accountable which is very good.	
Are ICANN's mechanisms sufficient to generate policies which are acceptable to the global Internet community?	Individual responses of 53% yes vs. 47% no produce a net of 6% yes which is extremely weak. Structure responses of 38% yes vs. 62% no produce a net of 24% no which is weak but important statement from Structures.	No
What role should SO or ACs play in fostering buy-in from their community to ICANN's policymaking? (Only asked of Structures)	Comments only	No

7.2.3. Other Information (none)

7.3. Analysis of Information and Identification of Issues

7.3.1. ATRT2 Recommendation 10.1 - To enhance GNSO policy development processes and methodologies to better meet community needs and be more suitable for addressing complex problems, ICANN should:

- a. In line with ongoing discussions within the GNSO, the Board should develop funded options for professional services to assist GNSO policy development WGs. Such services could include training to enhance work group leaders' and participants' ability to address difficult problems and situations, professional facilitation, mediation, negotiation. The GNSO should develop guidelines for when such options may be invoked,
- b. The Board should provide adequate funding for face-to-face meetings to augment e-mail, wiki and teleconferences for GNSO policy development processes. Such face-to-face meeting must also

accommodate remote participation, and consideration should also be given to using regional ICANN facilities (regional hubs and engagement centers) to support intersessional meetings. Moreover, the possibility of meetings added on to the start or end of ICANN meetings could also be considered. The GNSO must develop guidelines for when such meetings are required and justified, and who should participate in such meetings.

c. The Board should work with the GNSO and the wider ICANN community to develop methodologies and tools to allow the GNSO policy development processes to utilize volunteer time more effectively, increasing the ability to attract busy community participants into the process and also resulting in quicker policy development.

Conclusion: Although this recommendation is assessed as only Partially Implemented and Partially effective, ATRT3 must also take into consideration that there are several significant activities ongoing in other parts of the ICANN Community, such as the GNSO PDP 3.0 and the 'Evolution of the ICANN Multistakeholder Model'. These will potentially have wide ranging effects on the current gTLD PDP process but will only complete their work after ATRT3 has delivered its final report.

As such ATRT3 will refrain from making any specific suggestions with respect to the GNSO PDP process but will rather concentrate on making an overarching strong suggestion regarding any proposed changes to that process.

- 7.3.2. ATRT2 Recommendation 10.3 - The Board and the GNSO should charter a strategic initiative addressing the need for ensuring more global participation in GNSO policy development processes, as well as other GNSO processes. The focus should be on the viability and methodology of having the opportunity for equitable, substantive and robust participation from and representing:**
- a. All ICANN communities with an interest in gTLD policy and in particular, those represented within the GNSO;**
 - b. Under-represented geographical regions;**
 - c. Non-English-speaking linguistic groups;**
 - d. Those with non-Western cultural traditions; and**
 - e. Those with a vital interest in gTLD policy issues but who lack the financial support of industry players.**

Conclusion: Although this recommendation is assessed as Implemented and Partially effective, ATRT3 must also take into consideration that there are several significant activities ongoing in other parts of the ICANN Community, such as the GNSO PDP 3.0 and the ‘Evolution of the ICANN Multistakeholder Model’. These will potentially have wide ranging effects on the current gTLD PDP process but will only complete their work after ATRT3 has delivered its final report.

As such ATRT3 will refrain from making any specific suggestions with respect to the GNSO PDP process but will rather concentrate on making an overarching strong suggestion regarding any proposed changes to that process.

7.3.3. ATRT2 Recommendation 10.4 - To improve the transparency and predictability of the policy development process the Board should clearly state to what degree it believes that it may establish gTLD policy in the event that the GNSO cannot come to closure on a specific issue, in a specified time-frame if applicable, and to the extent that it may do so, the process for establishing such gTLD policies. This statement should also note under what conditions the Board believes it may alter GNSO Policy Recommendations, either before or after formal Board acceptance.

Conclusion: Although this recommendation is assessed as Not Implemented, ATRT3 must also take into consideration that there are several significant activities ongoing in other parts of the ICANN Community, such as the GNSO PDP 3.0 and the ‘Evolution of the ICANN Multistakeholder Model’. These will potentially have wide ranging effects on the current gTLD PDP process but will only complete their work after ATRT3 has delivered its final report.

As such ATRT3 will refrain from making any specific suggestions with respect to the GNSO PDP process but will rather concentrate on making an overarching strong suggestion regarding any proposed changes to that process.

7.4. Suggestions with Respect to Issues

7.4.1. ATRT2 Recommendations 10.1, 10.3 and 10.4.

ATRT3 recognizes that there are several significant activities being undertaken in parallel by other parts of the ICANN Community that will potentially have wide ranging effects on the current gTLD PDP process. These include the GNSO Council’s work on “PDP 3.0”, the results of the GNSO’s EPDP process and

outcomes from the current work on the ‘Evolution of the ICANN Multistakeholder Model’, none of which will likely be completed prior to ATRT3 submitting its final report. Therefore, ATRT3 has deemed it as premature to make any specific recommendations or suggestions regarding gTLD PDPs.

However, regardless of the results of these other processes, the ATRT3 strongly suggests that any proposal to change the current gTLD Policy Development Process clearly enhance, and not in any way reduce or restrict, the open, equitable and collaborative nature of the ICANN multistakeholder model nor adversely affect the security and stability of the DNS.

7.5. Recommendations to Address Issues (none)

8. Issue 6 – Assessment of the Independent Review Process (IRP)

8.1. Introduction

Per ICANN Bylaws Section 4.6(b)(ii)(F): “Assessing and improving the Independent Review Process”.

8.2. Information Gathering

The CCWG-Accountability Work Stream 1 (WS1) Recommendation 7 made significant changes to ICANN’s IRP process but could not complete the implementation of these prior to the completion of WS1. This WS1 recommendation was included in the ICANN Bylaws under Section 4.3(n)(i) and required the creation of an IRP Implementation Oversight Team (IOT - a CCWG) to undertake this work:

WS1 – Recommendation 7 - Implementation:

“The CCWG-Accountability proposes that the revised IRP provisions be adopted as Fundamental Bylaws. Implementation of these enhancements will necessarily require additional detailed work. Detailed rules for the implementation of the IRP (such as rules of procedure) are to be created by the ICANN community through a CCWG (assisted by counsel, appropriate experts, and the Standing Panel when confirmed), and approved by the Board, such approval not to be unreasonably withheld. The functional processes by which the Empowered Community will act, such as through a council of the chairs of the ACs and SOs, should also be developed. These processes may be updated in the light of further experience by the same process, if required. In addition, to ensure that the IRP functions as intended, the CCWG-Accountability proposes to subject the IRP to periodic community review.”

Following this the IRP Implementation Oversight Team (IOT) was created in May 2016 with the assistance of the CCWG-Accountability. The objectives of the IRP-IOT were:

- Complete recommendations to update the supplementary rules of procedure;
- Develop rules for Cooperative Engagement Process (CEP);
- Address standards and rules governing appeals;
- Consider panelist term limits and additional independence considerations.

The IRP-IOT delivered an Updated Draft Interim ICDR Supplementary Procedures to ICANN on 25 September 2018. As indicated in the title these are interim rules which did not include the revisions to Time to File considerations and the types of hearings.

Given the limited participation of IRP-IOT members since ICANN63 in October 2018 there has been little progress since then. To address this issue León Sánchez, Chair of the ICANN Board Accountability Mechanisms Committee (BAMC), wrote to the leadership of the SO/ACs on 26 June 2019 requesting additional volunteers join the IRP-IOT to allow it to carry on with its work²⁹.

8.3. Analysis of Information and Identification of Issues

In this context, the ATRT3 concluded that it should not review the IRP as required in the ICANN Bylaws given the IRP has recently undergone significant changes and further changes will be forthcoming once new members have been added to the IRP-IOT.

8.4. Suggestions with Respect to Issues (none)

8.5. Recommendations to Address Issues (none)

²⁹ <https://mm.icann.org/pipermail/iot/attachments/20190627/65c1a116/2019-06-26LeonSancheztoSOAC-Leaders-Repopulating-IOT-0001.pdf>

9. Issue 7 – Assessment of Relevant ATRT2 recommendations

9.1. Introduction

Per ICANN Bylaws Section 4.6(b)(iii): “Assessing the extent to which prior Accountability and Transparency Review recommendations have been implemented and the extent to which implementation of such recommendations has resulted in the intended effect”.

Note: This section will focus on the general approach ICANN org has used to report on the implementation of the ATRT2 recommendations. Issues with regards to implementation of specific ATRT2 recommendations are addressed throughout this report in the relevant sections.

9.2. Information Gathering

The ATRT2 Implementation Program Wiki³⁰ contains a series of Executive Summaries documenting the implementation of the ATRT2 recommendations. The latest such Executive Summary is dated October 2018³¹ and was the starting point for ATRT3’s assessment of the degree of ICANN org’s implementation of and effectiveness of the ATRT2 recommendations. The October 2018 report noted that all of the ATRT2 recommendations had been implemented.

ATRT3 assessed each of the 47 distinct recommendations for degree of implementation and effectiveness. The narrow assessment criteria ATRT3 used for implementation used a classification of: Implemented, Partially Implemented or Not Implemented. The assessment criteria for effectiveness were effective, Partially effective, Not effective, Not Applicable or Insufficient Information to Assess.

The table below summarizes the results of the ATRT3 assessment of the auditable implementation of the ATRT2 recommendations.

³⁰ <https://community.icann.org/display/atrt/ATRT2+Implementation+Program>

³¹ [https://community.icann.org/display/atrt/ATRT2+Implementation+Program?preview=/48350211/96214045/Recommendations%201-12%20\(Oct%202018\).pdf](https://community.icann.org/display/atrt/ATRT2+Implementation+Program?preview=/48350211/96214045/Recommendations%201-12%20(Oct%202018).pdf)

Recommendation #	TRT3 Assessment of Implementation	TRT3 Assessment of Effectiveness	Comments
1	Partially Implemented	Insufficient Information	
2	Partially Implemented	Insufficient Information	
3	Partially Implemented	Insufficient Information	
4	Implemented	Insufficient Information	
5	Not Implemented	Not Applicable	
6.1.a	Partially Implemented	Not Effective	
6.1.b	Implemented	Effective	
6.1.c	Implemented	Effective	
6.1.d	Implemented	Effective	
6.1.e	Implemented	Effective	
6.1.f	Implemented	Effective	
6.1.g	Implemented	Effective	
6.1.h	Partially Implemented	Partially Effective	
6.2	Implemented	Effective	
6.3	Implemented	Effective	
6.4	Implemented	Effective	
6.5	Implemented	Insufficient Information	
6.6	Partially Implemented	Partially Effective	
6.7	Implemented	Effective	
6.8	Implemented	Effective	
6.9	Implemented	Effective	
7.1	Implemented	Partially Effective	
7.2	Implemented	Not Effective	

8	Partially Implemented	Insufficient Information	
9.1	Not Implemented	Partially Effective	
9.2	Partially Implemented	Insufficient Information	
9.3	Partially Implemented	Insufficient Information	
9.4	Implemented	Insufficient Information	
9.5	Partially Implemented	Insufficient Information	
10.1	Partially Implemented	Partially Effective	
10.2	Partially Implemented	Insufficient Information	
10.3	Implemented	Partially Effective	
10.4	Not Implemented	Not Applicable	
10.5	Implemented	Partially Effective	
11.1	Not Implemented	Not Applicable	
11.2	Not Implemented	Not Applicable	
11.3	Implemented	Partially Effective	
11.4	Partially Implemented	Not Effective	
11.5	Implemented	Partially Effective	
11.6	Not Implemented	Not Applicable	
11.7	Not Implemented	Not Applicable	
12.1	Implemented	Partially Effective	
12.2	Implemented	Effective	
12.3	Not Implemented	Not Applicable	
12.4	Implemented	Partially Effective	
12.5	Implemented	Partially Effective	

A complete copy of ATRT3's assessment of the ATRT2 recommendations can be found in Annex A of this document.

9.3. Analysis of Information and Identification of Issues

The below table summarizes the results of ATRT3's assessment of the implementation of ATRT2 recommendations:

Implementation assessment	# of Recommendations
Implemented	28 (60%)
Partially Implemented	11 (23%)
Not Implemented	8 (17%)

These results contrast with the October 2018 Executive Summary report that states all ATRT2 recommendations were implemented.

Some of the differences in implementation assessments can be attributed to:

- A strict interpretation by ATRT3 of the terms 'implemented', 'partially implemented', and 'not implemented' - Even if ATRT3 has assessed a recommendation as 'not implemented', in a number of cases work was done on related items which ATRT3 did not assess as being core to the recommendation. In these cases, ATRT3 maintained that it could not use the 'Partially Implemented' assessment.
- Varying understanding of the ATRT2 recommendations - It is important to note that there were no Implementation Shepherds (see [Operating Standards](#) Section 4.5) or similar liaisons from the team which crafted the recommendations to provide clarifications during the implementation process or ATRT3's assessment process. ATRT3 also recognizes that its interpretation of the ATRT2 recommendations is a best effort based on current information vs. the context in which they were made in 2013.
- A change of context from the time the ATRT2 recommendations were made to the time they were implemented - Implementation of ATRT2 recommendations took approximately 5 years. The context of ICANN org significantly changed during this period with the IANA Stewardship Transition. Additionally, as previously noted, there were no Implementation Shepherds, nor mechanisms

to amend or retire recommendations which were initially approved for implementation but later assessed as problematic to implement.

- Transferred to the CCWG-Accountability WS2 – ATRT2 recommendations 9.2 and 9.3 were transferred to the CCWG-Accountability WS2. The WS2 recommendations on these topics are not implemented. As such it would have been more precise and effective to clearly report these as having been transferred to WS2.

Although this analysis clearly identifies some significant issues with ICANN org’s assessment of the implementation of ATRT2 recommendations, the new [Operating Standards for Specific Reviews](#) adopted by the ICANN Board in June 2019, combined with the new website for tracking the implementation of review recommendations³² should address most if not all of these issues going forward. Specifically, the Operating Standards states that review team draft and final reports should include:

“A preliminary impact analysis of the desired impact of each recommendation, including the desired outcome, metrics to measure the effectiveness of the recommendations, and where possible the source(s) of baseline data for that purpose:

- *Identification of issue.*
- *Definition of desired outcome, including metrics used to measure whether the recommendations’ goals are achieved.*
- *Initial identification of potential problems in attaining the data or developing the metrics.*
- *A suggested timeframe in which the measures should be performed.*
- *Define current baselines of the issue and initial benchmarks that define success or failure.*
- *Data retained by ICANN.*
- *Industry metric sources.*
- *Community input.*
- *Surveys or studies.”*

This leaves two issues which the Operating Standards do not cover:

- The implementation of the CCT, RDS and CCWG-Accountability WS2 recommendations. These reviews did not provide the implementation details associated with their recommendations as required in the Operating Standards.

³² <https://www.icann.org/resources/reviews/specific-reviews>

Nor were these teams required to provide Implementation Shepherds, which could lead to interpretation issues as noted above.

- The tracking of the implementation of recommendations which are transferred to other groups or processes, such as the ATRT2 recommendations which were transferred to the CCWG-Accountability WS2.

As such ATRT3 will be making suggestions with respect to these points.

9.4. Suggestions Relative to Issues

9.4.1. The Board should ensure that the CCT1, RDS2 and CCWG-Accountability WS2 review teams provide Implementation Shepherds as defined in the Operating Standards for Specific Reviews to avoid any confusion as to the intent of their recommendations during implementation. Implementation of these recommendations should also be tracked using the reviews website.

9.4.2. If the implementation of Specific Review recommendations is transferred to another process, the Board should ensure that any implementation reporting should clearly note this and ensure factual reporting on the progress of the implementation of such transferred recommendations.

9.5. Recommendations to Address Issues (none)

10. Issue 8 – Assessment of Periodic and Organizational Reviews

10.1. Introduction

Per ICANN Bylaws Section 4.6(b)(iv): “The Accountability and Transparency Review Team may recommend to the Board the termination or amendment of other periodic reviews required by this Section 4.6 and may recommend to the Board the creation of additional periodic reviews.”

10.2. Information Gathering

10.2.1. Relevant ATRT2 Recommendations - Summary of Assessments

ATRT3 performed an assessment of each of the ATRT2 recommendations listed in this section relative to implementation and effectiveness. These assessments can be found in Annex A of this report.

The table below presents a summary of these assessments and indicates if ATRT3 is proposing a suggestion or recommendation.

ATRT2 Recommendation	ATRT3 Implementation Assessment	ATRT3 Effectiveness Assessment	ATRT3 Suggestion or Recommendation
11.1	Not Implemented	Not Applicable	See Section 12
11.2	Not Implemented	Not Applicable	Suggestion
11.3	Implemented	Partially Effective	No
11.4	Partially Implemented	Not Effective	Suggestion
11.5	Implemented	Partially Effective	Suggestion
11.6	Not Implemented	Not Applicable	See Section 12

11.7	Not Implemented	Not Applicable	Suggestion
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10.2.2. ATRT3 Survey - Summary of Results

ATRT3 undertook a [survey](#) of the community with two surveys, one for individuals and another for Structures (SO/ACs and their component parts). The questions from the survey, the responses, comments from respondents, and the analysis of these results can be found in Annex B of this report.

The table below presents a summary of these results and indicates if ATRT3 is proposing a suggestion or recommendation.

Survey Question	Analysis	ATRT3 Suggestion or Recommendation
How would you rate the effectiveness of the Specific Reviews (ATRT, SSR, RDS, etc.) as they are currently structured in the ICANN Bylaws?	<p>Individual responses rating the effectiveness are 49% effective or very effective vs. 22% somewhat ineffective or ineffective producing a net of 27% effective or very effective which is weak.</p> <p>Structure responses rating the effectiveness are 16% effective or very effective vs. 62% somewhat ineffective or ineffective producing a net of 46% somewhat ineffective or ineffective which is the opposite of the individual results and a clear indication that there is an issue.</p> <p>The companion question asking, “if Specific Reviews (ATRT, SSR, RDS, etc.) be reconsidered or amended” produced some very strong results with individual responses of 78% yes vs. 22% no producing a net of 56% which is a strong result for</p>	Suggestion

	<p>reconsideration or amendment while Structure responses of 91% yes vs. 9% no produced a net of 82% which is extremely strong.</p>	
<p>How would you rate the effectiveness of Organizational Reviews, those reviewing SO/ACs as they are currently structured in the ICANN Bylaws?</p>	<p>Individual responses rating the effectiveness are 41% effective or very effective vs. 43% somewhat ineffective or ineffective producing a net of 2% somewhat ineffective or ineffective which is essentially a tie.</p> <p>Structure responses rating the effectiveness are 46% effective or very effective vs. 38% somewhat ineffective or ineffective producing a net of 8% effective or very effective which is also essentially a tie.</p> <p>The companion question asking, “if Organizational Reviews should be reconsidered or amended” produced some very strong results with Individual responses of 85% yes vs. 15% no producing a net of 70% yes which is a very strong result for reconsideration or amendment while Structure responses of 83% yes vs. 17% no produced a net of 66% yes which is also very strong.</p> <p>The final question “if Organizational Reviews continue to be undertaken by external consultants” also produced some very strong results with Individual responses of 79% yes vs. 21% no producing a net of 58% yes which is a very strong result for continuing with external consultants while Structure responses of 90% yes vs. 10% no produced a net of 80% yes which is extremely strong.</p>	<p>Suggestion</p>

10.2.3. Other Information (none)

10.3. Analysis of Information and Identification of Issues

10.3.1. ATRT2 Recommendation 11.1 - The Board should ensure strict coordination of the various review processes so as to have all reviews completed before the next ATRT review begins, and with the proper linkage of issues as framed by the AoC. The Board should ensure that the ongoing work of the AoC reviews, including implementation, is fed into the work of other ICANN strategic activities wherever appropriate.

Conclusion: The Board has been overwhelmed with recommendations, many of which the Board is not in a position to execute on its own, and which in total appear to be cost-prohibitive for ICANN to implement. This goes to the issue of prioritization which will be addressed in Section 12 of this report.

10.3.2. ATRT2 Recommendation 11.2 - The Board should ensure strict coordination of the various review processes so as to have all reviews completed before the next ATRT review begins, and with the proper linkage of issues as framed by the AoC.

Conclusion: ATRT3 will consider its ATRT2 implementation assessments along with the responses to the ATRT3 survey questions regarding Specific Reviews when considering making a general recommendation regarding reviews.

10.3.3. ATRT2 Recommendation 11.4 - The Board should prepare a complete implementation report to be ready by review kick-off. This report should be submitted for public consultation, and relevant benchmarks and metrics must be incorporated in the report.

Conclusion: As outlined in various sections of this report, ATRT3 found significant issues in its assessment of the implementation report (the Executive Summaries – see Section 9 of this report). ATRT3 recognizes the implementation of, and likely positive effects of, the new tracking options in the Reviews section of the ICANN website, as well as the Operating Standards for Specific Reviews adopted by the ICANN Board in June 2019. However, given the significant issues ATRT3 has identified with ICANN’s implementation and reporting of implementation of the

ATRT2 recommendations coupled with the untested changes which should address this, ATRT3 suggests that:

- The Board follow through with requesting an Implementation Shepherd (Section 4.5 of the Operating Standards) from ATRT3 for the implementation of its suggestions and recommendations
- ICANN open a Public Comment proceeding on its implementation of the ATRT3 suggestions and recommendations such that the Implementation Report is available at the launch of the next ATRT type review (recognizing ATRT3 will be making recommendations with respect to Specific Reviews.)

10.3.4. ATRT2 Recommendation 11.5 - The ICANN Board should ensure in its budget that sufficient resources are allocated for Review Teams to fulfill their mandates. This should include, but is not limited to, accommodation of Review Team requests to appoint independent experts/consultants if deemed necessary by the teams. Before a review is commenced, ICANN should publish the budget for the review, together with a rationale for the amount allocated that is based on the experiences of the previous teams, including ensuring a continuous assessment and adjustment of the budget according to the needs of the different reviews.

Conclusion: The ATRT3 recognizes and endorses the importance of ATRT2 Recommendation 11.5 and notes that it has generally been implemented. ATRT3 suggests that review teams assess their allocated budget with staff once they have established a work plan. Review teams should be allowed to request reasonable and justified amendments as necessary to ensure they can complete their task. The review team and staff should review the budget at regular intervals during the project and could request to have it amended it under exceptional circumstances.

10.3.5. ATRT2 Recommendation 11.6 - The Board should address all AoC Review Team recommendations in a clear and unambiguous manner, indicating to what extent they are accepting each recommendation.

Conclusion: This goes to the issue of prioritization which will be addressed in Section 12 of this report.

10.3.6. ATRT2 Recommendation 11.7 - In responding to Review Team recommendations, the Board should provide an expected time frame for implementation, and if that time frame is different from one given by the Review Team, the rationale should address the difference.

Conclusion: Given the assessment by ATRT3 that this recommendation was not implemented, ATRT3 suggests that the Board implement this recommendation as it was originally proposed by ATRT2.

10.3.7. Survey question: How would you rate the effectiveness of the specific reviews (ATRT, SSR, RDS, etc.) as they are currently structured in the ICANN Bylaws?

Analysis: Individual responses rating the effectiveness are 49% effective or very effective vs. 22% somewhat ineffective or ineffective producing a net of 27% effective or very effective which is weak.

Structure responses rating the effectiveness are 16% effective or very effective vs. 62% somewhat ineffective or ineffective producing a net of 46% somewhat ineffective or ineffective which is the opposite of the individual results and a clear indication that there is an issue.

The companion question that asked, “Should Specific Reviews (ATRT, SSR, RDS, etc.) be reconsidered or amended?” produced some very strong results: Individual responses of 78% yes vs. 22% no producing a net of 56% which is a strong result for reconsideration or amendment while Structure responses of 91% yes vs. 9% no produced a net of 82% which is extremely strong.

Conclusion: Individuals and Structures disagree on the effectiveness of the Specific Reviews, but it is important to note that 62% of Structures responded that these Reviews were somewhat ineffective or ineffective. Both strongly agree that these Reviews should be reconsidered or amended.

ATRT3 will make recommendations or suggestions regarding Specific Reviews.

10.3.8. Survey question: How would you rate the effectiveness of organizational reviews, those reviewing SO/ACs as they are currently structured in the ICANN Bylaws?

Analysis: Individual responses rating the effectiveness are 41% effective or very effective vs. 43% somewhat ineffective or ineffective producing a net of 2% somewhat ineffective or ineffective which is essentially a tie.

Structure responses rating the effectiveness are 46% effective or very effective vs. 38% somewhat ineffective or ineffective producing a net of 8% effective or very effective which is also essentially a tie.

The companion question asking, “Should Organizational Reviews be reconsidered or amended?” produced some very strong results with Individual responses of 85% yes vs. 15% no producing a net of 70% yes which is a very strong result for reconsideration or amendment. Structure responses of 83% yes vs. 17% no produced a net of 66% yes, which is also very strong.

The final question, “Should Organizational Reviews continue to be undertaken by external consultants?” also produced some very strong results with Individual responses of 79% yes vs. 21% no producing a net of 58% yes, which is a very strong result for continuing with external consultants. Structure responses of 90% yes vs. 10% no produced a net of 80% yes which is extremely strong.

Conclusion: In both cases, Individuals and Structures cannot agree if Organizational Reviews are effective or not but it is important to note that 38% of Structures responded that these Reviews were somewhat ineffective or ineffective. Both strongly agree that these Reviews should be reconsidered or amended.

ATRT3 will make a recommendation or suggestion regarding Specific Reviews.

10.4. Suggestions Relative to Issues

10.4.1. ATRT2 Recommendation 11.4

ATRT3 suggests that

- The Board follow through with requesting an Implementation Shepherd (Section 4.5 of the Operating Standards) from ATRT3 for the implementation of its suggestions and recommendations
- ICANN open a Public Comment proceeding on its implementation of the ATRT3 suggestions and recommendations such that the Implementation Report is available at the launch of the next ATRT type review (recognizing ATRT3 will be making recommendations with respect to Specific Reviews.)

10.4.2. ATRT2 Recommendation 11.5

The ATRT3 recognizes and endorses the importance of ATRT2 Recommendation 11.5 and notes that it has generally been implemented. ATRT3 will suggest that Review Teams assess their allocated budget with staff once they have established

a work plan. Review teams should be allowed to request reasonable and justified amendments as necessary to ensure they can complete their task. The review team and staff should review the budget at regular intervals during the course of the project and could request to have it amended it under exceptional circumstances.

10.4.3. ATRT2 Recommendation 11.7

Given ATRT3's assessment that this recommendation was not implemented, ATRT3 suggests that the Board implement this recommendation as it was originally proposed by ATRT2.

10.5. Recommendations to Address Issues

ATRT3 believes it needs to address the issue of Specific and Organizational Reviews in a holistic fashion for the following reasons:

- ATRT3 survey results with respect to Specific Reviews were that 67% of Structures (SO/ACs and their sub-components) found these somewhat ineffective or ineffective. The companion question that asked, "Should Specific Reviews (ATRT, SSR, RDS, etc.) should be reconsidered or amended?", had Structures responding 91% yes.
- ATRT3 survey results with respect to Organizational Reviews were that Structures (SO/ACs and their sub-components) only found these effective or very effective in 46% of responses. The companion question asking, "Should Organizational Reviews be reconsidered or amended?" produced some very strong results with Structure responses of 83% yes.
- Issues of timing and cadence of reviews. The Board paper on "Enhancing and Streamlining ICANN's Reviews: Issues, Approaches, and Next Steps"³³ states that, "The Board believes that streamlining entails improving both the timing and the cadence of the reviews." Obviously holding 4 Specific Reviews and 7 Organizational Reviews every 5 years is a challenge for the ICANN org and the community which needs to be addressed.

³³ <https://www.icann.org/news/blog/enhancing-and-streamlining-icann-s-reviews-issues-approaches-and-next-steps>

In addition, it is important to note the “SSAC2018-19: SSAC Comment on Long-Term Options to Adjust the Timeline of Reviews”³⁴, referred to in the survey results, states:

“The SSAC shares the widespread concerns within the ICANN Community on the number of concurrent reviews, including the demands these place on ICANN Community members and on ICANN resources and budgets. The SSAC is acutely aware of these concerns since the SSAC is considerably constrained in its ability to be directly involved in and provide public comment on such reviews due to its small, all-volunteer composition, and heavy demands for its primary SSR advice. In particular, the SSAC has considered the key principles that have been proposed with the aim to rationalize the review schedule to make it more practical for the community. The SSAC supports the following principles:

- *Staggering the reviews to have no more than one Specific Review and two Organizational Reviews running concurrently*
- *Adding timing criteria to ensure that the next cycle of a Specific or Organizational Review is not initiated until prior review recommendations are fully implemented and operational for a period of 12 months*
- *Where appropriate, adding requirements that, like the Accountability and Transparency Review (ATRT), other Specific Review teams complete their work within 12 months*
- *Focusing Specific Review teams’ work on topics of highest priority to the community*
- *Adding scheduling flexibility for Specific Reviews to the Bylaws, with appropriate checks and balances*

The SSAC supports the development of detailed changes to the ICANN Bylaws to enable these principles to be adopted.”

Although ATRT3 could not come to consensus on a single proposal to address the issues related to Specific and Organizational Reviews it did manage to narrow the options down to two distinct possibilities for this draft report which are presented

³⁴ <https://www.icann.org/en/system/files/files/ssac2018-19-24jul18-en.pdf>

below. The ATRT3 is seeking input from community on these to assist it in coming to a conclusion on this topic for its final report.

- Option 1

- Keep the current set of Specific and Organizational Reviews as they are, given they are important accountability mechanisms for the community, in combination with a new oversight mechanism to manage reviews and the implementation of their recommendations.
- This new oversight mechanism should be the responsibility of a new Independent Accountability Office (in some ways similar to the Office of the Ombuds with respect to oversight), that includes responsibility for SO/AC accountability as well as the coordination of reviews and the implementation of their recommendations.

- Option 2

- Organizational Reviews: Maintain the current concept of individual Organizational Reviews for each SO/AC, but conduct them as three to five-day workshops focused on SO/AC self-inspection in a context of continuous improvement. These reviews would be conducted every three years, or more frequently, as determined by each SO/AC. The reports of these reviews would then feed into a new holistic review. This new holistic review would focus on the improvements made by all SO/ACs as presented in their Organizational Review reports, as well as on the interactions between SOs and ACs. This new holistic review would be conducted every 7 years for a maximum duration of 12 to 18 months to allow for the implementation and maturing of the recommendations made by the individual Organizational Reviews and those of the previous holistic review.
- Specific Reviews: Specific Reviews include the Accountability and Transparency Review (AT), the Security, Stability, and Resiliency Review (SSR), the Competition, Consumer Trust, and Consumer Choice Review (CCT) and the Registration Directory Service (RDS) Review (formerly WHOIS Review.) AT as well as the relevant portions of CCT and RDS would be combined into a single AT review which would be conducted every 7 years for a maximum duration of 12 to 18 months to allow for the implementation and maturing of the previous recommendations by this review. SSR could either be a three to five-day workshop or a more traditional review period depending on topic.

11. Issue 9 – Accountability Indicators

11.1. Introduction

11.1.1. Added to the requirements of the ATRT3 by its plenary in July 2019.

11.1.2. ICANN published the latest update to the Accountability Indicators in August 2019 at <https://www.icann.org/accountability-indicators>. These are based on the five pillars of the Strategic Plan:

- Evolve and further globalize ICANN
- Support a healthy, stable, and resilient unique identifier ecosystem
- Advance organizational, technological, and operational excellence
- Promote ICANN’s role and multistakeholder approach
- Develop and implement a global public interest framework bounded by ICANN’s mission

11.2. Information Gathering

11.2.1. ATRT2 Recommendations (none)

11.2.2. ATRT3 Survey - Summary of Results

ATRT3 undertook a [survey](#) of the community with two surveys, one for individuals and another for Structures (SO/ACs and their component parts). The questions from the survey, the responses, comments from respondents and the analysis of these results can be found in Annex B of this report.

The table below presents a summary of these results and indicates if ATRT3 is proposing a suggestion or recommendation.

Survey Question	Analysis	ATRT3 Suggestion or Recommendation
Has your Structure looked at the ICANN Accountability Indicators? (Only asked on the Structures survey)	Yes = 46% No - 54%	Suggestion

<p>Please rate the effectiveness of the Accountability Indicators as they relate to Board performance as found in https://www.icann.org/accountability-indicators 3.3.</p>	<p>Individual responses were 42% effective or very effective vs. 26% somewhat ineffective or ineffective producing a net of 16% effective of very effective which is very weak.</p> <p>Structure responses were 33% effective of very effective vs. 67% somewhat ineffective or ineffective producing a net of 34% somewhat ineffective or ineffective which is weak but a clear indication of an issue.</p>	<p>Suggestion</p>
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11.2.3. Other Information

11.2.3.1. ATRT3 is in the process of producing a detailed assessment of the Accountability Indicators and will be included in the final report. In the meantime, ATRT3 will provide some examples to support its suggestions.

11.3. Analysis of Information and Identification of Issues

11.3.1. Survey Question: Has your Structure looked at the ICANN Accountability Indicators? (Only asked on the Structures survey)

Analysis: Yes = 46%, No - 54%

Conclusion: Obviously, there is a communication gap if 54% of Structures are unaware of the existence of Accountability Indicators.

ATRT3 will make a suggestion that the Accountability Indicators should be the subject of a communications effort by ICANN.

11.3.2. Survey Question: Please rate the effectiveness of the Accountability Indicators as they relate to Board performance as found in <https://www.icann.org/accountability-indicators> 3.3.

Analysis: Individual responses were 42% effective or very effective vs. 26% somewhat ineffective or ineffective producing a net of 16% effective of very effective which is very weak.

Structure responses were 33% effective of very effective vs. 67% somewhat ineffective or ineffective producing a net of 34% somewhat ineffective or ineffective which is weak but a clear indication of an issue.

Conclusion: The 67% of Structures which find the Accountability Indicators somewhat ineffective is of concern which is strongly echoed by the assessment of these by the ATRT3.

An example of Accountability Indicators which ATRT3 considers problematic are:

- Objective 2 | Goal 2.2 - Domain Abuse Activity Reporting

Domain Abuse Activity Reporting



Text accompanying the slide - The Domain Abuse Activity Reporting project (<https://www.icann.org/octo-ssr/daar>) is a system for studying and reporting on domain name registration and security threat (domain abuse) behavior across top-level domain (TLD) registries and registrars. The overarching purpose of Domain Abuse Activity Reporting is to report security threat activity to the ICANN community, which can then use the data to facilitate informed policy decisions.

ATRT3 assessment - It is unclear what the accountability value as of December 2019 is of this high-level project plan which is presented as ending in late February 2019? The text accompanying the slide is definitional and of little

accountability value. The referenced website does contain relevant and up-to-date information but it is unclear how this assists in making this slide a useful Accountability Indicator.

ATRT3 will make suggestions regarding the Accountability Indicators based on the responses to these questions and its assessment of these.

11.4. Suggestions Related to Issues

11.4.1. Survey Question: Has your Structure looked at the ICANN Accountability Indicators? (Only asked on the Structures survey)

ATRT3 suggests that ICANN undertake a communications effort to make the community aware of the Accountability Indicators. Part of this effort could include a formal presentation of these at an ICANN meeting.

11.4.2. Survey Question: Please rate the effectiveness of the Accountability Indicators as they relate to Board performance as found in <https://www.icann.org/accountability-indicators> 3.3.

ATRT3 strongly suggests that ICANN rapidly undertake a serious review of its Accountability Indicators to ensure that these:

- Meet the stated objective in each section and subsection.
- Provide data that is useful as an Accountability Indicator.
- Provide data that can inform decision making processes.
- Present data that is up to date.

11.5. Recommendations to Address Issues (none)

12. Issue 10 – Prioritization and Rationalization of Activities, Policies, and Recommendations

12.1. Introduction

12.1.1. Added to the requirements by the ATRT3 plenary in August 2019.

12.2. Information Gathering

12.2.1. Relevant ATRT2 Recommendations - Summary of Assessments

ATRT3 performed an assessment of each of the ATRT2 recommendations listed in this section relative to implementation and effectiveness. These assessments can be found in Annex A of this report.

The table below presents a summary of these assessments and indicates if ATRT3 is proposing a suggestion or recommendation.

ATRT2 Recommendation	ATRT3 Implementation Assessment	ATRT3 Effectiveness Assessment	ATRT3 Suggestion or Recommendation
12.1	Implemented	Partially Effective	Suggestion
12.2	Implemented	Effective	No
12.3	Not Implemented	Not Applicable	Suggestion
12.4	Implemented	Partially Effective	Suggestion
12.5	Implemented	Partially Effective	Suggestion

12.2.2. ATRT3 Survey - Summary of Results

ATRT3 undertook a [survey](#) of the community with two surveys, one for individuals and another for Structures (SO/ACs and their component parts). The questions from the survey, the responses, comments from respondents, and the analysis of these results can be found in Annex B of this report.

The table below presents a summary of these results and indicates if ATRT3 is proposing a suggestion or recommendation.

Survey Question	Analysis	ATRT3 Suggestion or Recommendation
Should the ATRT3 make recommendations about prioritization and rationalization of ICANN activities?	Individual responses of 73% yes vs. 27% no produce a net of 46% yes which is a very good result. Structure responses of 92% yes vs. 8% no produce a net of 84% yes which is extremely strong.	Recommendation
Should such recommendations include a process to retire recommendations as it becomes apparent that the community will never get to them or they have been overtaken by other events?	Individual responses of 85% yes vs. 15% no produce a net of 70% yes which is a very strong result. Structure responses were 100% yes which is absolute.	Recommendation
Should such recommendations aim to provide a general approach for prioritizing and rationalizing work for ICANN?	Individual responses of 91% yes vs. 9% no produce a net of 82% yes which is an extremely strong result. Structure responses of 91% yes vs. 9% no produce a net of 82% yes which is also an extremely strong result.	Recommendation
Should the mechanism for making recommendations on prioritization and rationalization	Individual responses of 54% yes vs. 46% no produce a net of 8% yes which is an extremely weak result.	No

<p>only apply to PDPs, reviews and their recommendations, or include other operational aspects in ICANN?</p>	<p>Structure responses of 45% yes vs. 55% no produce a net 10% no which is also extremely weak.</p>	
<p>Should the community or representative(s) of the community be involved as a decisional participant in any mechanism which makes recommendations for prioritizing and rationalizing work for ICANN?</p>	<p>Individual responses of 97% yes vs. 3% no produce a net of 94% yes which is almost absolute.</p> <p>Structure responses were 100% yes which is absolute.</p>	<p>Recommendation</p>
<p>Do you think the Empowered Community would be a good mechanism for making recommendations on prioritizing and rationalizing if its role was amended to allow this?</p>	<p>Individual responses of 76% yes vs. 24% no produce a net of 52% yes which is a very strong result.</p> <p>Structure responses of 73% yes vs. 27% no produce a net of 46% yes which is a strong result.</p> <p>Overall very strong support for using the Empowered Community as a mechanism for making recommendations on prioritizing and rationalizing if its role was amended to allow this.</p>	<p>Recommendation</p>

12.2.3. Other Information (none)

12.3. Analysis of Information and Identification of Issues

12.3.1. ATRT2 Recommendation 12.1 - The Board should implement new financial procedures in ICANN that can effectively ensure that the ICANN community, including all SOs and ACs, can participate and assist the ICANN Board in planning and prioritizing the work and development of the organization.

Conclusion: As noted, this recommendation has been implemented but as stated in the Effectiveness assessment, there could be improvements to allow for greater participation.

As such ATRT3 will be making suggestions to improve the process to allow for greater participation to assist the ICANN Board in planning and prioritizing the work and development of the organization and the community.

12.3.2. ATRT2 Recommendation 12.3 - Every three years the Board should conduct a benchmark study on relevant parameters, (e.g. size of organization, levels of staff compensation and benefits, cost of living adjustments, etc.) suitable for a non-profit organization. If the result of the benchmark is that ICANN as an organization is not in line with the standards of comparable organizations, the Board should consider aligning the deviation. In cases where the Board chooses not to align, this has to be reasoned in the Board decision and published to the Internet community.

Conclusion: Benchmark studies, if done properly, are an effective tool in helping to assess accountability. Given that this ATRT2 recommendation was made in December 2013 and that the requested benchmark study has not yet been produced at the time of the writing of this report in 2019, is of great concern to ATRT3.

The implementation report of October 2018 noted that:

12.3 – “ICANN currently identifies targets in its KPI Dashboard which informs the Annual Report that is reviewed and approved by the ICANN Board. Benchmark references will be included in the KPI Dashboard once a comparable non-profit organization is identified. The estimated time for the first benchmarking study to be completed is FY18.”³⁵

As such ATRT3 will be making a strong suggestion with respect to this assessment.

12.3.3. ATRT2 Recommendation 12.4 – In order to improve accountability and transparency, ICANN’s Board should base the yearly budgets on a multi-annual strategic plan and corresponding financial framework (covering e.g. a three-year

³⁵ ATRT2 Implementation Executive Summary: October 2018 - [https://community.icann.org/display/atrt/ATRT2+Implementation+Program?preview=/48350211/96214045/Recommendations%201-12%20\(Oct%202018\).pdf](https://community.icann.org/display/atrt/ATRT2+Implementation+Program?preview=/48350211/96214045/Recommendations%201-12%20(Oct%202018).pdf)

period) This rolling plan and framework should reflect the planned activities and the corresponding expenses in that multi-annual period. This should include specified budgets for the ACs and SOs. ICANN's (yearly) financial reporting shall ensure that it is possible to track ICANN's activities and the related expenses with particular focus on the implementation of the (yearly) budget. The financial report shall be subject to public consultation.

Conclusion: This recommendation has been implemented but as stated in the Effectiveness assessment, there could be improvements to allow for greater participation. As such ATRT3 will consider making suggestions to improve the process to allow for greater participation.

12.3.4. ATRT2 Recommendation 12.5 - In order to ensure that the budget reflects the views of the ICANN community, the Board shall improve the budget consultation process by ensuring that sufficient time is given to the community to provide their views on the proposed budget and sufficient time is allocated for the Board to take into account all input before approving the budget. The budget consultation process shall also include time for an open meeting among the Board and the Supporting Organizations and Advisory Committees to discuss the proposed budget.

Conclusion: Given the recommendation has been assessed as implemented but only partially effective, ATRT3 will be making a suggestion with respect to gathering sufficient data to track the level of acceptance and approval within the community.

12.3.5. Survey question: Should the ATRT3 make recommendations about prioritization and rationalization of ICANN activities?

Analysis:

- Individual responses of 73% yes vs. 27% no produce a net of 46% yes which is a very good result.
- Structure responses of 92% yes vs. 8% no produce a net of 84% yes which is extremely strong.

Conclusion: ATRT3 will make recommendations about the implementation of a process for the prioritization and rationalization of ICANN activities.

Note: Given that at the time of the survey, the community was involved in a number of discussions on this topic, it was clear that the question was asking about ATRT3 considering recommending a process for prioritization.

12.3.6. Survey question: Should such recommendations include a process to retire recommendations as it becomes apparent that the community will never get to them or they have been overtaken by other events?

Analysis:

- Individual responses of 85% yes vs. 15% no produce a net of 70% yes, which is a very strong result.
- Structure responses were 100% yes which is absolute.

Conclusion: ATRT3 will make recommendations which include a process to retire recommendations as it becomes apparent that the community will never get to them or they have been overtaken by other events.

12.3.7. Survey question: Should such recommendations aim to provide a general approach for prioritizing and rationalizing work for ICANN?

Analysis:

- Individual responses of 91% yes vs. 9% no produce a net of 82% yes which is an extremely strong result.
- Structure responses of 91% yes vs. 9% no produce a net of 82% yes which is also an extremely strong result.

Conclusion: ATRT3 will make a recommendation to provide a general approach for prioritizing and rationalizing work for ICANN.

12.3.8. Survey question: Should the community or representative(s) of the community be involved as a decisional participant in any mechanism which makes recommendations for prioritizing and rationalizing work for ICANN?

Analysis:

- Individual responses of 97% yes vs. 3% no produce a net of 94% yes which is almost absolute.

- Structure responses were 100% yes which is absolute.

Conclusion: ATRT3 recommendations on prioritizing and rationalizing work for ICANN should include the community or representative(s) of the community as decisional participants.

12.3.9. Survey question: Do you think the Empowered Community would be a good mechanism for making recommendations on prioritizing and rationalizing if its role was amended to allow this?

Analysis:

- Individual responses of 76% yes vs. 24% no produce a net of 52% yes which is a very strong result
- Structure responses of 73% yes vs. 27% no produce a net of 46% yes which is a strong result

Overall very strong support for using the Empowered Community as a mechanism for making recommendations on prioritizing and rationalizing if its role was amended to allow this.

Conclusion: In any recommendations on this issue, ATRT3 should include using the Empowered Community (or a similar body which includes all SO/ACs) as a mechanism for making recommendations on prioritizing and rationalizing, and considerations on amending its role to allow it to do this.

12.4. Suggestions Related to Issues

12.4.1. Holistic suggestion with respect to Prioritization

Considering the strong support in the responses to the ATRT3 survey indicating that ATRT3 should make recommendations with respect to prioritization, and recognizing that there are several significant activities being undertaken in parallel by other parts of the ICANN Community regarding prioritization (Evolution of ICANN’s Multistakeholder Model³⁶, ICANN Board Paper on Resourcing and Prioritization of Community Recommendations: Draft Proposal

³⁶ <https://www.icann.org/news/announcement-2-2019-08-27-en>

for Community Discussions³⁷) ATRT3 proposes that only a community-led process can legitimately develop a system for prioritizing the implementation of Reviews, CWG, and CCWG recommendations.

Additionally, ATRT3 wishes to align with the efforts currently underway to develop a prioritization system to avoid conflicting recommendations or duplication of work. As such, ATRT3 has opted to provide some high-level guidance for the proposed community discussions regarding the creation and objectives of a community-led entity tasked with developing a prioritization process.

ATRT3's starting point was the following section from the ICANN Board Paper on Resourcing and Prioritization of Community Recommendations: Draft Proposal for Community Discussion:

Section 5 B - "The ICANN community and ICANN org will collaboratively develop a methodology for prioritizing recommendations across review teams and for funding implementation of prioritized recommendations as part of the annual budget process. This methodology will be consistent with the existing budget development process, including the solicitation and consideration of community input. See also the discussion in Section 4 on prioritization."

In this context that the ATRT3 suggests the following guidance for the creation of a community-led entity tasked with developing a prioritization process:

- Developing a Prioritization Process
 - Overall the ATRT3 believes that the Operating Standards for Specific Reviews³⁸ could serve as a good base for framing the creation and operation of a community-led entity tasked with developing an annual prioritization process.
 - All community members participating in this process must have significant experience in ICANN and have actively participated in a major process in ICANN (CWG, CCWG-Accountability WS1 and 2, EPDP, etc.)
 - Members must include representatives from the Board and ICANN org.
 - The community-led entity developing the prioritization process should be given a fixed one-year term to complete its task.

³⁷<https://www.icann.org/en/system/files/files/draft-proposal-resourcing-community-recommendations-29oct19-en.pdf>

³⁸<https://www.icann.org/en/system/files/files/operating-standards-specific-reviews-23jun19-en.pdf>

- The community-led entity could request the services of a professional facilitator to expedite its work.
- Requirements for a Prioritization Process
 - Overall the ATRT3 believes that the Operating Standards for Specific Reviews could serve as a good base for framing the operation of the annual prioritization process.³⁹
 - Must be conducted annually by members of the community with the participation of the Board and the ICANN org.
 - The group actually performing the prioritization should be a standing group which will perform the annual prioritization process but which can also be called upon to deal with exceptional circumstances such as emergency re-allocation of funds if a prioritized implementation needs to be cancelled or an emergency approval of a new critical recommendation which is extremely time sensitive.
 - Must be conducted in an open and transparent fashion and each decision should be justified and documented.
 - The prioritization process should apply to all recommendations of CWGs, CCWGs, Organizational Reviews, Specific Reviews as well as any other type of community-driven recommendations. The process would also apply to any such recommendations which have been approved but not yet implemented.
 - The prioritization process should only consider the information it is provided with respect to recommendations and should not be required to generate or have generated any additional information for the evaluation of recommendations for prioritization.
 - The prioritization process can fund multi-year implementations but will review these annually to ensure they are still meeting their implementation objectives and the needs of the community.
 - Elements to be considered when prioritizing recommendations should include:
 - Budget availability
 - Cost of implementation
 - Complexity and time to implement
 - Prerequisites and dependencies with other recommendations
 - Value and impact of implementation

³⁹ <https://www.icann.org/en/system/files/files/operating-standards-specific-reviews-23jun19-en.pdf>

- Relevance to ICANN’s Mission, Commitments, Core Values and Strategic Objectives

12.4.2. ATRT2 Recommendations 12.1 and 12.4

ATRT3 suggests that the budget consultation process be improved to allow for greater community participation by providing a plain language summary of the proposed budget as per the suggestions ATRT3 has made with respect to Public Comment proceedings in Section 5 of this report.

12.4.3. ATRT2 Recommendation 12.3

ATRT3 suggests that the Board implement ATRT2 Recommendation 12.3. ATRT3 understands that ICANN does perform some benchmarking related to salaries however this is only one element of the ATRT2 recommendation. If no comparable organization can be found for performing overall benchmarking, then the benchmarking activity should be broken down into component parts for which comparable organizations can be found in a similar fashion to what was done for salaries.

12.5. Recommendations to Address Issues (none)

13. SO/AC and Sub-Structures Accountability

13.1. Survey

13.1.1. What procedures do you have in place within your Structure for electing NomCom representatives?

Structure Responding	Response
AT-LARGE	<p>AT-LARGE - The At-Large Rules of Procedure paragraph 18.5 provides for the 5 At-Large Representatives to the ICANN Nominating Committee (one from each ICANN region) to be selected by the At-Large in consultation with the RALOs. While RALOs make recommendations to the At-Large on candidates from their respective regions, it is At-Large which makes the final decision on its list of regional representatives on the Nominating Committee. The selected representatives on NomCom must command the respect and confidence of the fifteen members of At-Large because they are the representatives of At-Large charged to select appointees to various constituencies of ICANN, including the Board and the At-Large in particular, whom they deem best meet the needs and interests of ICANN overall and/or each receiving constituency.</p> <p>At-Large Representatives to the ICANN Nominating Committee, one from each ICANN region, will be selected by the At-Large in consultation with the RALOs. (At-Large Rules of Procedure 20160909)</p>
AT-LARGE – EURALO	<p>A call for candidates is made on the EURALO mailing lists. If one candidate application is made, the EURALO Board discusses the application and a consensus call is made on the EURALO mailing list to recommend this name to the At-Large. If more than one candidate applies, then an election is held using secret ballot with the electorate being EURALO members. Individual members of the region vote through their EURALO individuals' representative.</p>

AT-LARGE- LACRALO	Regional election. We have a regional organization structure that consists of 4 subregions to seek the greatest possible regional diversity.
AT-LARGE – NARALO - Chair and Secretariat	We do this through our elections procedure as indicated in our Rules and Procedures document.
CCNSO	https://ccnso.icann.org/sites/default/files/filefield_10978/appointment-nomcom-delegate-05nov08.pdf
GAC	The prospect of GAC participation in the ICANN NomCom has been discussed for some time within the committee and is still subject to further discussions. As a result, the GAC has not appointed a delegate to serve on the NomCom for many years.
GNSO – BC	Nomination by any member, followed by election by all members.
GNSO – RrSG	The RrSG elects NomCom reps from members who hold voting status.
GNSO – RySG	We elect our NomCom reps along with our other leadership positions. Candidates are nominated by RySG members in good standing and each nomination must be seconded by another member and accepted by the candidate him/herself. We then hold elections and the candidate that receives a majority of votes is selected to serve as the NomCom rep.
SSAC	Per SSAC Operational Procedures Version 7.0 (https://www.icann.org/en/system/files/files/operational-procedures-30nov18-en.pdf), “The SSAC may choose to elect an outward liaison to other ICANN Advisory Committees and Supporting Organizations, at the discretion of a majority of SSAC members and with the agreement of the receiving Advisory Committee or Supporting Organization.”
RSSAC	The procedure for selecting the RSSAC liaison to the Nominating Committee is defined in RSSAC operational procedures. [See page 11: https://www.icann.org/en/system/files/files/rssac-000-op-procedures-23oct17-en.pdf]

13.1.2. Does your Structure have formalized or instituted term limits for membership?

Structure Responding	Response
AT-LARGE	<p>Term membership of RALO-appointed At-Large members is limited by their availability as well as by the RALO's measure of their contribution on the At-Large and to the RALO itself. It is unusual for At-Large members to be on the At-Large for more than 2-3 two-year terms so that they can share the opportunity for participation in the decision-making body among other RALO aspirants.</p> <p>Term membership of NomCom appointees to the At-Large is normally at two consecutive years, however some high performers have been returned by the NomCom for a further term of service.</p>
AT-LARGE – EURALO	No
AT-LARGE - LACRALO	No
AT-LARGE – NARALO - Chair and Secretariat	No
CCNSO	No
GNSO – BC	No
GNSO – IPC	No
GNSO – RrSG	No
GNSO – RySG	Does not apply
RSSAC	Yes

13.1.3. Does your Structure have formalized or instituted term limits for leadership?

Structure Responding	Response
AT-LARGE – EURALO	No
AT-LARGE -LACRALO	Yes
AT-LARGE – NARALO - Chair and Secretariat	No
CCNSO	No
GNSO – BC	Yes
GNSO – IPC	Yes
GNSO – RrSG	Yes
GNSO – RySG	Yes
RSSAC	Yes

13.1.4. What is your Structure’s feedback regarding its selection of Board members or non-voting Liaisons to the Board?

Structure Responding	Response
AT-LARGE – EURALO	Very positive from a RALO perspective. The EURALO vote has always been directed by its members.
AT-LARGE – NARALO Chair and Secretariat	The process in place is very convoluted and at the end it works. However, the people running it are all volunteers which takes that effort away from policy work.
CCNSO	Recently, the ccNSO Council adopted a new guideline for selection of Board members. A more detailed analysis of the new procedure will be done after it had been applied.
GAC	The non-voting liaison to the ICANN Board has traditionally and consistently been filled by the GAC Chair

	<p>since the formation of the GAC. The process for such a selection is not formally documented in the GAC Operating Principles. The Board is simply notified when the GAC Chair changes and the new chair is accepted onto the Board. This matter will be addressed by the GAC working group that is reviewing the GAC operating principles in due course.</p>
GNSO – BC	<p>Per our comment in June 2019 on Multistakeholder model:</p> <p>One factor that fuels in-GNSO disputes is the limited number of GNSO seats on the Board, which are only 2 of the 15 seats. Considering that gTLDs are responsible for 98% of ICANN’s revenue and for most of ICANN’s policy work, 2 seats seems like an insufficient representation for the GNSO. One way to get around this would be to give 2 of the 8 NomCom seats to the GNSO. This would still allow the NomCom to name 6 of the 15 board members, while giving more room to accommodate the many stakeholders of the GNSO. A potential working model would be that each of these GNSO stakeholder groups would get one board seat: registrars, registries, commercials, noncommercials.</p> <p>The BC suggests that the weighted voting be removed, the structure of the GNSO Policy Council be returned to its former state, and that the balance of representation on the Board is better considered, so that all stakeholders feel properly represented and thus more willing to engage in a more productive manner, knowing that their voice would ultimately have a clear carrier on the Board.</p>
GNSO – IPC	<p>The IPC is involved with the selection of the Board member to fill seat 14. The Non-Contracted Parties House has recently agreed to a procedure for the selection of this Board member:</p> <p>https://gnso.icann.org/sites/default/files/file/field-file-attach/ncph-election-procedures-seat-14-03jun19-en.pdf.</p> <p>The IPC has supported this procedure:</p> <p>https://mm.icann.org/pipermail/comments-ncph-election-procedures-seat-14-03jun19/attachments/20190624/04fa1db7/IPCCommentreProposedBoardSeat14ElectionProcedures24Jun2019-</p>

	0001.pdf.
RSSAC	The procedure for selecting the RSSAC liaison to the ICANN Board has worked well for RSSAC since instituted in 2016. It is defined in RSSAC operational procedures. [See page 11: https://www.icann.org/en/system/files/files/rssac-000-op-procedures-23oct17-en.pdf]

13.1.5. Does your Structure have a transparency policy?

Structure Responding	Response
AT-LARGE	<p>Yes - While we do not have a specific transparency policy, there are references in our Rules of Procedure that indicate At-Large meetings and processes to be, in general, open and accessible to the public.</p> <p>For example, paragraph 14.4.4 -- Most At-Large meetings and electronic communications are open, archived, and viewable by the public. Care must be taken so as to not violate any obligations of confidentiality or violate the privacy of others. (At-Large RoPs 20160909)</p> <p>Last revision of our Rules of Procedure - 2016</p>
AT-LARGE – EURALO	<p>Yes - Whilst EURALO does not explicitly have a transparency policy documented, its rules of procedure explain its main channel of discussion as the EURALO Discuss mailing that has open membership and open archives, as well as the EURALO Board mailing list that has open archives. It also uses open Wikis to conduct its business. EURALO does not have a private mailing list. Emails pertaining to private information about an individual are not distributed on the mailing list for privacy reasons, in which case private email is used. Unless required for confidentiality reasons, EURALO business is conducted on its mailing lists.</p> <p>Revised in 2018 during discussions of the EURALO Rules</p>

	of Procedure.
AT-LARGE - LACRALO	No - During our elections the vote is configured to know who votes for which option proposed. This result is public at the end of the election process – Not yet revised.
AT-LARGE – NARALO Chair and Secretariat	No
CCNSO	No
GAC	Yes - Long Response - please see annex B for complete text.
GNSO – BC	Yes - Transparency is required in multiple parts of the BC Charter, at https://www.bizconst.org/index.php?option=com_content&view=article&id=34:charter&catid=20:site-content&Itemid=131 – revised in 2017.
GNSO – RrSG	No
SSAC	Please see SSAC operational Procedures V7.0 (https://www.icann.org/en/system/files/files/operational-procedures-30nov18-en.pdf), Section 4: SSAC Work Plan and Activity Reporting. The Operational Procedures were last updated on 30 November 2018.
RSSAC	Yes - RSSAC operational procedures outline how minutes of meetings, including RSSAC decisions, are to be published. [See: https://www.icann.org/en/system/files/files/rssac-000-op-procedures-23oct17-en.pdf]. RSSAC operational procedures are reviewed annually.

13.1.6. Does your Structure have a conflict of interest policy?

Structure Responding	Response
AT-LARGE	No response

AT-LARGE – EURALO	<p>Yes - EURALO does not have a conflict of interest policy as such but respects the minimum criteria for an ALS application to reduce the potential for a conflict of interest.</p> <p>Evaluation component – Yes - Due diligence is performed by ICANN Staff at the time of ALS application. For individual membership applications, due diligence is performed by the Board of the EURALO Individual Users.</p>
AT-LARGE -LACRALO	Yes, with the operating principles.
AT-LARGE – NARALO Chair and Secretariat	No
CCNSO	No
GAC	No
GNSO – BC	<p>Yes - Policies regarding conflicts of Interest appear several times in the BC Charter, at https://www.bizconst.org/index.php?option=com_content&view=article&id=34:charter&catid=20:site-content&Itemid=131</p> <p>Evaluation component - The BC Credentials Committee is charged with the responsibility of ensuring all issues pertaining to membership eligibility (including conflicts of interest) are sorted before admission into membership.</p>
GNSO – RrSG	Yes - https://rrsg.org/wp-content/uploads/2018/06/RrSG-Charter-6.0-May-2018.pdf (no evaluation component).
SSAC	<p>No - SSAC does not have a conflict of interest policy, we have a disclosure of interest policy, please see SSAC operational Procedures V7.0 (https://www.icann.org/en/system/files/files/operational-procedures-30nov18-en.pdf), Section 2.3: New Member Selection and Appendix B: SSAC Member Disclosure of Interests.</p>
RSSAC	No

13.1.7. Has your Structure ever experienced or perceived challenges related to conflicts of interest?

Structure Responding	Response
AT-LARGE – NARALO Chair and Secretariat	Yes
GAC	No
GNSO – RrSG	Yes
RSSAC	No

14. Prioritization and Interdependencies of Recommendations (TBD)

ANNEX A: ATRT2 Analysis Details

15. ATRT2 Analysis Details

15.1. Recommendation 1 - The Board should develop objective measures for determining the quality of ICANN Board members and the success of Board improvement efforts and analyze those findings over time.

Implementation – The Board ensures that all Board members complete Board Member Skills Assessment and has developed both general on-boarding training programs for new Directors as well as individual training programs to address any gaps in skills to ensure Board members are properly equipped for the job. General Board training materials are available on the ICANN site. Overall, these efforts have ensured that the quality of the Board has improved over time, but no detailed data is available to support this as required in the recommendation. It should be noted that measuring the quality of Board members and performing an analysis of this over time has not been done and that it would be futile to do so given the Board does not select its members. Improvements in the NomCom as part of its review are addressing some of these issues in cooperation with the Board. Implementation assessment - Partially Implemented.

Effectiveness – As it is only partly implemented it is not possible to gauge effectiveness. Effectiveness assessment - Insufficient information to assess.

Conclusion: The recommendation has been partly implemented. Given constraints on the Board described above, the review team provides no follow up recommendation.

15.2. Recommendation 2 - The Board should develop metrics to measure the effectiveness of the Board's functioning and improvement efforts, and publish the materials used for training to gauge levels of improvement.

Implementation

- The following indicators have been developed and published
 - Achievement of globally diverse culture and knowledge levels – Board with the per region distribution of Board members: FY19
 - Achievement of Global Knowledge Development Programs – Board with 3 elements

- Board training by fiscal year
- Board composition: FY19
- Board training sessions: FY19
- Regarding measuring the effectiveness of the Board's functioning and improvement efforts, there is no specific information. There is only some data about training. Implementation assessment – Not Implemented.
- Regarding the publication of the materials used for training to gauge levels of improvement. Some information is available. Implementation assessment - Partially Implemented.

Overall Implementation Assessment – Partially Implemented.

Effectiveness - Insufficient information to assess.

Conclusion: The executive summary which was provided as an implementation report for ATRT2 recommendations only discusses assessment of Board member skills and training except for one item which states:

“Initial set of KPIs including training efficiency and Board Performance documented and vetted with the BGC and the Board in preparation for operationalization.”

Now KPI's have evolved into the [Accountability Indicators](#) which were initially published in August 2019 (see Section 11 of this report for more information on these as well as an assessment by ATRT3). The only section of the Accountability Indicators which touches on the Board is a small portion of Objective 3, Goal 3.3, which addresses the geographic diversity of the Board. This does not address developing “metrics to measure the effectiveness of the Board's functioning and improvement efforts,” as required by the recommendation.

When ICANN org was asked about these metrics, ATRT3 was referred to the Accountability Indicators as the only metrics available.

Various other sections of the Accountability Indicators do offer some other metrics, such as the time for publishing annual reports, agendas, and minutes of Board meetings vs. targets, etc., which are useful.

Given the results of the ATRT3 surveys show limited satisfaction on Board performance, transparency, and decision-taking, the ATRT3 makes the following suggestions:

- The Board should establish the same targets it uses for publishing agendas and minutes of Board meetings for the agendas and minutes of all its official committees and publish these in the Accountability Indicators.
- All of the relevant indicators of Board performance should be grouped in a single area of the Accountability Indicators.
- Board minutes should indicate how members voted, including in Executive Sessions.
- Board minutes should include, in addition to the rationale, summaries of the main discussion points covered prior to taking votes.

15.3. Recommendation 3 - The Board should conduct qualitative/quantitative studies to determine how the qualifications of Board candidate pools change over time and should regularly assess Directors' compensation levels against prevailing standards.

Implementation - This is broadly implemented by the Board Governance Committee. There are annual skills surveys that the Board forwards to the NomCom to help it identify skill gaps in the current board. It is not known whether SOs and ACs are informed about the skill survey so that SOs and ACs can take this into consideration when they select Board Directors. There are assessments of the Director's compensation but so far there was no review of the work of the Compensation Committee and its recommendations. The Board has received a new compensation study in 2019 and is currently studying it. Implementation assessment - Partially Implemented.

Effectiveness - Insufficient information to assess.

Conclusion: This recommendation has been implemented as much as it was possible to implement it – as such no further action is required with respect to this recommendation.

15.4. Recommendation 4 - The Board should continue supporting cross-community engagement aimed at developing an understanding of the distinction between policy development and policy implementation. Develop complementary mechanisms

whereby the Supporting Organizations and Advisory Committees (SO/AC) can consult with the Board on matters including but not limited to policy, implementation, and administrative matters on which the Board makes decisions.

Implementation - This recommendation is effectively implemented in the GNSO,⁴⁰ but requires further cross-community engagement to be considered fully implemented with respect to all ICANN communities regarding the distinction between policy development and policy implementation.

With respect to developing complementary mechanisms whereby SO/ACs can consult with the Board, the Board has instituted the Board Advice Register (<https://features.icann.org/board-advice>) for the ALAC, SSAC, and RSSAC advice. There is a separate register for GAC advice (<https://gac.icann.org/activity/icann-action-request-registry-of-gac-advice>). There is no such registry for the ccNSO, GNSO, or ASO. Obviously policy recommendations to the Board from these SOs are tracked but all other requests simply fall in Board Correspondence (<https://www.icann.org/resources/pages/correspondence>). This a wide variety of topics included from condolences (<https://www.icann.org/en/system/files/correspondence/marby-to-zhao-16oct19-en.pdf>) to notices regarding changes to GNSO Registry Agreements (<https://www.icann.org/en/system/files/correspondence/marby-to-bunton-21oct19-en.pdf>). Given correspondence is only sorted by date, it is very difficult to identify topics, which SO communicated with the Board, or vice versa. Additionally, it is difficult to track the status of any request made by a SO in this system.

Effectiveness - Insufficient information to assess.

Conclusion: There is no meaningful metric to show any improvement in the wider ICANN community understanding the difference between policy development and implementation of policy as was called for by the recommendation. ATRT3 does recognize and appreciate the considerable work already done in the GNSO regarding non-PDP and cross-community working group processes. However, this is not an example of ongoing and

⁴⁰ The observations regarding the identified GNSO working group, its recommendations (adopted), and the consequent activity of the EPDP developed in this process, are accurate. However, the CWG work on CWGs like the outcomes and recommendations from the other GNSO WG on Non PDP working groups should be recognised here, and it is the combination of these that can act as foundation for the development of understanding set out as desirable in this ATRT2 Recommendation 4.

Board-facilitated cross-community engagement. It does not properly implement what was in the recommendation. ATRT3 suggests:

- Similarly to Reviews and the implementation of Review recommendations ICANN should provide a centralized system to track the development, approval, and implementation of policy by the SOs.
- Additionally, ICANN should, in a similar fashion to its Action Request Registry for ACs, institute a section on its website to track requests and communications from SOs and associated follow-on actions if any are required.

15.5. Recommendation 5 – The Board should review redaction standards for Board documents, Document Information Disclosure Policy (DIDP) and any other ICANN documents to create a single published redaction policy. Institute a process to regularly evaluate redacted material to determine if redactions are still required and if not, ensure that redactions are removed.

Implementation - The recommendation seems to be calling for a single unified policy, not merely a central hub where the different policies may be centrally accessed (which is what the implementation report delivered). The implementation report specifically states that ICANN is declining to apply this policy to existing published minutes, instead focusing on looking forward to future board redactions. This is a resourcing decision, but this seems like an important caveat that would nonetheless stand in the way of marking this as implemented. The report also notes, correctly, that the easiest way to implement this would be to track time-sensitive harms at the time that records are created. Looking at the latest published Board minutes (<https://www.icann.org/resources/board-material/prelim-report-2019-06-23-en>), there is no indication this is being done, even though certain redactions, related to ongoing negotiations, are a fairly typical example of the kinds of redactions that would often be time-limited. Implementation assessment - Not Implemented.

Effectiveness - Effectiveness assessment – Not Applicable.

Conclusion: ATRT3 believes that the efforts made in response to the recommendation regarding “...review redaction standards for Board documents, Document Information Disclosure Policy (DIDP) and any other ICANN documents to create a single published redaction policy. Institute a process to regularly evaluate redacted material to determine if redactions are still required and if not, ensure that redactions are removed” has not been

implemented. As such, ATRT3 suggests completing the implementation of a single unified redaction policy as well as the adoption and adherence to effective processes in support of the requirements of the recommendation.

15.6. Recommendation 9.1 - Proposed Bylaws change recommended by the ATRT2 to impose a requirement on the ICANN Board to acknowledge advice arising from any of ICANN's Advisory Committees.

Implementation - The Board has implemented a Board Advice Registry which is not part of the Bylaws. However, there is no time requirement to respond to advice which is entered in the Registry. There is a need for proper management and tracking of responses like a response management tool which may be related to project management but for tracking responses.
Implementation Assessment - Not Implemented.

Effectiveness - Not applicable.

Conclusion: The Action Request Register is a good step towards meeting the intent of this recommendation. Setting minimum times for the Board to respond to advice from SO/ACs is challenging as implementing some advice requires time and resources. These are usually not specified in the advice provided and often require ICANN to undertake an appropriate evaluation to produce an implementation plan. The recommendation required "ICANN Board to acknowledge advice arising from any of ICANN's Advisory Committees" which the Board Advice web page does using the Board Advice Register Phases and Descriptions and as such there is no need in the current context for a Bylaws change. A suggestion for improvement is that ICANN implement a maximum time to provide an initial assessment of recommendations which require action that are made to the Board by the SO/ACs.

15.7. Recommendation 9.2 - Review ICANN's existing accountability mechanisms through a community-comprised group.

Implementation - This is a recommendation that was subsumed into the CCWG-Accountability WS1 and WS2 and resulted in removal of amongst other things the SO/AC Accountability Recommendations from WS2. While ICANN org has resolved the implementation of the ATRT2 Recommendation 9.2 by passing it on, the actual implementation of the WS2 recommendations at the time of this review has yet to begin. As such the purpose of the ATRT2 recommendation has not been completed, effectively

implemented, withdrawn, or superseded. Implementation assessment - Partially Implemented.

Effectiveness – Given WS1 recommendations were implemented in the Bylaws and that some of these changes are being used such as the Empowered Community approval of Bylaws changes which supports at least this being partially effective. The fact that the WS2 recommendations have not been implemented makes it impossible to assess the effectiveness of those recommendations. Effectiveness assessment – Insufficient information to assess.

Conclusion: This recommendation has been transferred to the CCWG-Accountability WS1 and WS2 where the recommendations of WS2 have not yet been implemented. However, given that the implementation of WS2 recommendation is required in the Bylaws (Article 27) there is no need for any further action by ATRT3.

15.8. Recommendation 9.3 - Review of the Office of the Ombudsman, the role within ICANN, and whether the duties/scope of the Ombudsman should be expanded or changed in line with suggestions from the ATRT2.

Implementation - The ATRT2 recommendation for the evaluation of the ICANN Office of the Ombudsman (IOO) was transferred to the CCWG-Accountability WS2 to avoid overlap or duplication of work.

To undertake this work, the CCWG-Accountability WS2 created an IOO sub-group (IOO SG). An external evaluator delivered a report that was considered by IOO SG in its final report.

This final report was part of the WS2 final report. It included 11 recommendations. The review is completed but implementation of WS2 recommendations has not yet officially begun. However, some of the WS2 recommendations relating to the IOO, such as providing gender diversity in the IOO, have been implemented. Implementation Status - Partially Implemented.

Effectiveness – Insufficient information to assess.

Conclusion: This recommendation has been transferred to the CCWG-Accountability WS2 and the recommendations of WS2 have not yet been

implemented. However, given that the implementation of WS2 recommendation is required in the Bylaws (Article 27), there is no need for any further action by ATRT3. This should be confirmed by future reviews.

15.9. Recommendation 9.5 - Conduct a review of the Anonymous Hotline policy and processes, implement any proposed modifications to policy and publish a report on results to the community.

Implementation – The review was conducted and ICANN began the implementation of the recommendations. It was noted that these would be completed, but there is no record of completion.⁴¹ Additionally, WS2 made further recommendations on this topic which were in-line with the review recommendations. Implementation assessment - Partially implemented.

Effectiveness –Insufficient information to assess.

Conclusion: ICANN should complete the implementation of the reviewer’s recommendations as well as those of the CCWG-Accountability WS2 on this topic.

15.10. Recommendation 10.5 - The Board must facilitate the equitable participation in applicable ICANN activities of those ICANN stakeholders who lack the financial support of industry players.

Implementation – With the key word of *facilitating* in mind, the ICANN Board and ICANN org have developed or enhanced the following programs: Fellowship, NextGen@ICANN, ICANN Academy Leadership Program, some improvement in remote participation (captioning), and funding additional members of the community (GAC).

The other keyword, *equitable*, may be more difficult to assess. But the programs listed above show some good implementation and can count as good attempts towards being equitable.

Implementation assessment - Implemented.

Effectiveness -There are some available statistics:

<https://www.icann.org/resources/pages/fellowship-statistics-2018-03-02-en>

<https://www.icann.org/resources/pages/nextgen-statistics-2017-09-27-en>

Effectiveness assessment – Partially effective.

⁴¹ See page 22 of <https://community.icann.org/download/attachments/108332215/Decision-Making%20Transparency%20%26%20Appeals.pdf?version=1&modificationDate=1556008186000&api=v2>

Conclusion – This is obviously a major recommendation which has met with some success. As such the ATRT3 will suggest to keep this objective alive with a continuing enhancement.

ATRT2 Recommendations Related to Section 4 GAC

15.11. Recommendation 6.1a – Convening “GAC 101” or information sessions for the ICANN community, to provide greater insight into how individual GAC members prepare for ICANN meetings in national capitals, how the GAC agenda and work priorities are established, and how GAC members interact intersessionally and during GAC meetings to arrive at consensus GAC positions that ultimately are forwarded to the ICANN Board as advice;

Implementation - ATRT3 - GAC has intersessional calls to define the agenda for ICANN meetings and to define its relevant points. This certainly does not show how GAC members prepare themselves for ICANN meetings at their own country. This is not an appropriate demand anyway; they have tools - previous agenda, links, etc. How they are prepared is totally dependent on each country’s internal government arrangements and does not contribute to transparency or accountability to ICANN community. The intersessional call allows members to better prepare. This part of the recommendation was implemented. Regarding the process to arrive to consensus, GAC uses the work of writing the communiqué to reach consensus. This is not a written process, but more of a negotiation. Article 47 of the GAC Operating Principles says GAC shall look for consensus under the United Nations definition. When consensus cannot be reached, all positions shall be written.
Implementation assessment – Partially Implemented.

Effectiveness - Regarding effectiveness there are some points to consider:

- a) Communiqué language is still not clear which can generate misinterpretations. The effort done to date not yet as effective as it should be.
- b) More clarity on which kind of consensus was reached. For example, there is no record of how many members fully agreed or disagreed during the process to reach consensus.

c)The consensus process itself is not clear for the community, therefore it is not yet effective.

Effectiveness assessment – Not effective.

Conclusion –The GAC is a special entity in ICANN and the government representatives have many requirements placed on them from their governments which constrain their interactions. This recommendation has been implemented as much as it can be implemented and is also as effective as it can be for the GAC. If there is a desire for further improvements, this would first require that there be some effective measurements of the processes we believe need improvements to be able to confirm that improvements are required and would be effective.

15.12. Recommendation 6.1b - Publishing agendas for GAC meetings, conference calls, etc., on the GAC website seven days in advance of the meetings and publishing meeting minutes on the GAC website within seven days after each meeting or conference call.

Implementation - Agenda for meetings and calls are posted at the GAC website in a timely fashion. Implementation assessment – Implemented.

Effectiveness - The information about agendas is easily available on the GAC website – the language and details and links are already published. All improvements were quite effective, allowing the community to easily find topics to be discussed in all meetings and, if interested, attend open meetings during ICANN Public Meetings. Effectiveness assessment – Effective.

Conclusion: This recommendation has been fully implemented and is effective. No further action is required with respect to this recommendation.

15.13. Recommendation 6.1c- Updating and improving the GAC website to more accurately describe GAC activities, including intersessional activities, as well as publishing all relevant GAC transcripts, positions and correspondence;

Implementation – The GAC website was fully improved and is kept updated. The website is always a work in progress due the evolving of issues and membership. All formal activities are on the calendar and

includes a clear statement if it is an open or closed session or call. All documents are posted. Implementation assessment - Implemented

Effectiveness - It is possible for an external community member to find all issues and documents on the website even if the interface is not very intuitive. Websites are normally a work in progress, and we can consider the recommendation is effective. Effectiveness assessment – effective.

Conclusion: This recommendation has been fully implemented and is effective. No further action is required with respect to this recommendation.

15.14. Recommendation 6.1d - Considering whether and how to open GAC conference calls to other stakeholders to observe and participate, as appropriate. This could possibly be accomplished through the participation of liaisons from other ACs and SOs to the GAC, once that mechanism has been agreed upon and implemented;

Implementation - GAC meetings are open during ICANN Public Meetings as well as some other meetings. Calls are mostly closed to guarantee efficacy due the large number of members and due to the nature of its members. The themes and agendas are published ahead of time. This part of the recommendation is implemented as feasible, respecting the nature of GAC members. Regarding liaisons, GAC is open to receive liaisons from SO/ACs. Liaisons were implemented depending on individual SO/ACs. Liaisons and even staff are helping to increase communication among GAC and other SO/ACs. Implementation assessment - Implemented.

Effectiveness – Liaisons’ performance will depend upon the people allocated to the position. We have examples of positive and effective liaisons that have improved the relationship with the GAC. The implementation is effective. Eventually one specific liaison may not contribute to the effectiveness, but it is not the implementation fault, but the liaison itself.). Effectiveness assessment – Effective.

Conclusion – Overall, this recommendation is implemented and effective when considering that it was an unrealistic expectation that GAC conference calls could be open to all given the current number of GAC members. The effectiveness is directly related to the quality of the liaisons that are appointed to the GAC. ATRT3 will be suggesting that the GAC publish a short list of

suggested qualities or requirements for liaisons to assist SO/ACs to select the best candidates to be GAC liaisons. Another suggestion could be to provide training to liaisons.

15.15. Recommendation 6.1 e - Considering how to structure GAC meetings and work intersessionally so that during the three public ICANN meetings a year the GAC is engaging with the community and not sitting in a room debating itself for closed sessions.

Implementation – The GAC has opened its F2F meetings to implement this recommendation. The GAC does not meet F2F like other SOs intersessionally and due the nature of its members' work this would not be possible: time dedicated to ICANN is quite limited for a number of governments. There are intersessional calls which focus on agendas and clarifying points demanded by members. Like many other groups inside ICANN the GAC decided to have those calls be closed. The reason is clear: The GAC now has more than 170 members and opening these calls could cause interference on the discussion of sensitive points for the members (political interest from anyone). Additionally, having even more people not focused on GAC issues (for instance: chats during the call or even not allow participants to talk would be rude) can compromise the efficiency of the call. Having F2F meetings open and with web presence, allows the community to share any points in an open ambience. Implementation assessment - Implemented.

Effectiveness – Many GAC members cannot dedicate much time to ICANN related issues outside of the F2F meetings. Intersession calls are usually dedicated to administrative issues and preparing the next F2F meeting. As such the GAC must use its F2F meetings to focus on and advance its work. This being said, the GAC has now opened all its F2F sessions to the public, has a series of liaisons with various SO/ACs and invites relevant SO/ACs to present to them and discuss issues of mutual interest. As such this recommendation, when considering the special nature of the GAC, is as effective as it can be. Effectiveness assessment – Effective.

Conclusion: This recommendation has been fully implemented and is effective as much as can be expected given the special nature of the GAC. No further action is required with respect to this recommendation.

15.16. Recommendation 6.1f - Establishing as a routine practice agenda setting calls for the next meeting at the conclusion of the previous meeting;

Implementation - Agenda for next calls are posted on the website and the calendar is agreed between members. Implementation assessment – Implemented.

Effectiveness - It is clear and easy to find the calendars for the next meeting (for instance: 29 of July 2019 call - clarification on wording related to communiqué) and (August 8th, 2019, leadership call). Effectiveness assessment – Effective.

Conclusion: This recommendation has been fully implemented and is effective. No further action is required with respect to this recommendation.

15.17. Recommendation 6.1 g - Providing clarity regarding the role of the leadership of the GAC;

Implementation - The GAC understood that they needed to enlarge the leadership team to provide better access to regions, bring cultural diversity to the debate, and allow those views to be more active in the work of the GAC. This was implemented and posted at <https://gac.icann.org/about/leadership-and-support#leadership>. The leadership team was enlarged to 5 vice chairs and this required a change in the GAC Operating Principles. This was completed and can be seen at <https://gac.icann.org/operating-principles/operating-principles-june-2017>. Implementation assessment - Implemented.

Effectiveness – The change to having 5 vice chairs improved the effectiveness of the leadership team since it is implemented to reflect the geographic and developmental diversity of the membership, and as such will bring their visions to the work of the GAC leadership. With regions being better represented on the leadership team, members of that region have more and better access to the leadership to debate, understand issues and help in the consensus negotiation. The community itself can also get some benefits from this change since regional access to those members is easier (some of them participate in RALOS calls when they are invited) and allows for a better exchange of ideas. Effectiveness assessment – Effective.

Conclusion: This recommendation has been fully implemented and is effective. No further action is required with respect to this recommendation.

15.18. Recommendation 6.1h - When deliberating on matters affecting particular entities, to the extent reasonable and practical, give those entities the opportunity to present to the GAC as a whole prior to its deliberations.

Implementation – The GAC is reaching out on such positions through liaisons as well as working groups. Several examples can be cited - <https://gac.icann.org/working-group/> and liaison, for instance with the At-Large allowed two relevant statements to be posted together as a work of the two ACs (GAC and At-Large, making clear the liaisons work can help communication, timely work, and consensus between GAC, ACs, and SOs). It is a work in progress. We can only consider this partially implemented given several issues of GAC interest are not debated in working groups. This is because some processes were not well established with some of the SO/ACs. As we also stated in ATRT2 Recommendation 10.2, it is also important to understand that to populate a WG is not an easy task for the GAC due the nature of its members who have limited time to dedicate to ICANN related activities. Having good liaisons is the best way to make it more effective using a clear process established beforehand. Implementation assessment - Partially Implemented

Effectiveness – It is difficult to measure the effectiveness of this using working groups. Liaisons in some cases are facilitating the engagement with the GAC prior to a decision. More analysis on effectiveness to SO/ACs could be done. Some complaints about advanced information was done by GNSO. Partially effective.

Conclusion – Overall the implementation and effectiveness are currently satisfactory. However, ATRT3 will be suggesting that the GAC engage in continuous improvement in its relations with SO/ACs to increase the effectiveness of those interactions via early engagement whenever possible.

15.19. Recommendation 6.2 - ATRT2 recommends that the Board work jointly with the GAC, through the BGRI, to facilitate the GAC formally adopting a policy of open meetings to increase transparency into GAC deliberations and to establish and publish clear criteria for closed sessions.

Implementation - This recommendation has, de facto, been implemented. The GAC open meetings policy has been implemented since ICANN47 as is clearly identified on the GAC website (<https://gac.icann.org/>) and a search will easily lead to the relevant page where this type of information can be found. Implementation assessment - Implemented.

Effectiveness - Nevertheless, if we stick with the recommendation to increase transparency into GAC deliberations and, considering the GAC's special nature, the implementation has been overall effective. Effectiveness assessment - Effective (as much as possible).

Conclusion: Given the nature of the GAC this recommendation has been implemented as much as it can be and is as effective as it can be. As such no further action is required relative to this recommendation.

15.20. Recommendation 6.3 - ATRT2 recommends that the Board work jointly with the GAC, through the BGRI, to facilitate the GAC developing and publishing rationales for GAC Advice at the time Advice is provided. Such rationales should be recorded in the GAC register. The register should also include a record of how the ICANN Board responded to each item of advice.

Implementation - The improvements to the GAC Register of Advice which includes Board responses seems to meet the intention of this recommendation. In addition, a system has been put in place for the Board to follow up on all GAC advice (Action Request Register), see <https://gac.icann.org/activity/>. This ensures that no GAC advice can get lost, and there is a clear track to follow-up by Board reply. Implementation assessment – Implemented.

Effectiveness - The improvements seem to be effective in relation to the stated objectives. Effectiveness assessment - Effective

Conclusion – This recommendation has been fully implemented and is effective. No further action is required with respect to this recommendation.

15.21. Recommendation 6.4 - The Board, working through the BGRI working group should develop and document a formal process for notifying and requesting GAC advice (see ATRT1 Recommendation 10).

Implementation - The current status is that there is a clear process operating between the Board and the GAC establishing times to send feedback on advice, time to respond, clarification calls etc. A Board member comment on this noted: "On the current Board-GAC interaction: there is a well-documented approach towards the lines of communications between Board and GAC, in which the GAC's Communique is central. It comes up at the end of every public GAC meeting and gets a formal response from the Board via a "scorecard"

which is made available latest 4 weeks before the next GAC Public meeting. Agreed step in-between is a call for clarifying the questions from the GAC to the Board several weeks after the communiqué was published”. Already during public meetings, during the Board-GAC public session, the timeline for this is explicitly proposed, discussed, and agreed. This process was put firmly in place in 2017 and has been followed diligently ever since to mutual satisfaction about the process – but not necessarily about the responses themselves. In addition, a system has been put in place to follow up on all GAC advice (Action Request Register), see <https://gac.icann.org/activity/>. This helps ensure that no GAC advice is lost, and there is a clear track to follow-up by Board reply. Implementation assessment – Implemented.

Effectiveness - It certainly improved the effectiveness of communications between the GAC and the Board. However, ATRT3 noted during its interviews with the GAC at ICANN65 that there was a lack of “closing the loop” at the end of the process. However, improvements to the BGRI processes since ICANN60 have addressed the remaining issues. Effectiveness assessment - Effective.

Conclusion: This recommendation has been fully implemented and is effective. No further action is required with respect to this recommendation.

15.22. Recommendation 6.5 - The Board should propose and vote on appropriate bylaw changes to formally implement the documented process for Board-GAC bylaws consultation as developed by the BGRI working group as soon as practicable (see ATRT1 Recommendation 11). Increase support and resource commitments of government to the GAC (see ATRT 1 Recommendation 14)

Implementation - From the Implementation Report "The ICANN Bylaws approved by the ICANN Board on 27 May 2016, require a vote of 60% of the Board to reject GAC Consensus Advice, rather than the supermajority identified in this Recommendation. The ICANN Bylaw also requires that the Board is only to give this special consideration to GAC Consensus advice that meets a specific definition for the term “Consensus”. The Bylaws went into effect in October 2016. Implementation Assessment - Implemented.

Effectiveness - Effectiveness assessment – Insufficient information to assess.

Conclusion: This recommendation has been fully implemented. No further action is required with respect to this recommendation.

15.23. Recommendation 6.6 - ATRT2 recommends that the Board work jointly with the GAC, through the BGRI working group, to identify and implement initiatives that can remove barriers for participation, including language barriers, and improve understanding of the ICANN model and access to relevant ICANN information for GAC members. The BGRI working group should consider how the GAC can improve its procedures to ensure a more efficient, transparent and inclusive decision-making. The BGRI working group should develop GAC engagement best practices for its members that could include issues such as: conflict of interest; transparency and accountability; adequate domestic resource commitments; routine consultation with local Domain Name System (DNS) stakeholder and interest groups; and an expectation that positions taken within the GAC reflect the fully coordinated domestic government position and are consistent with existing relevant national and international laws.

Implementation -

1 - The language barrier has been overall addressed as the spoken languages exceed U.N.O. language (Portuguese has been added vs. UNO, see <https://gac.icann.org/meeting-services/attending-your-first-gac-meeting>). Such measures as overall information delivered on the GAC website, (see <https://gac.icann.org/about>) are proof of made progress in enhancing diversity and education. Travel Assistance, on the other side, encourages GAC participation by lowering eventual budget issues that selected countries and approved organizations might have felt vs. participation of their representative teams (see <https://gac.icann.org/meeting-services/travel-assistance>). Going further could imply organized teaching sessions for requesting members or GAC 101 sessions as recommended in ATRT2 6.1a but this recommendation can be considered as overall implemented.

2 - Recommendations 6.1 to 6.3 represent a major recommendation corpus as far as ATRT2 GAC assessment is concerned. Major measures have been implemented further to these recommendations (see for example 6.1/b, 6.1/d, 6.1/e, 6.1/f, 6.1/g, 6.2), and while these matters should still be considered as on-going work, this recommendation can be considered as implemented.

3 - Reviewing GAC operating principles, it appears some of them can be considered as addressing members' best practices, see Principle 20 (commitment to efficiency vs. voting principles), Principle 41, 42 and 43 (Members statements and debates organization). In this sense, this recommendation can be considered as partially implemented. While agreeing

GAC nature makes it harder to enforce strict rules on its members, it seems a clear and unoffensive definition of “best practices” as a “set of non-mandatory practices to facilitate efficiency and transparency of GAC work” could be established on a consensual basis and lead to further progress in GAC work efficiency. It is recommended that GAC members explore this avenue.

Overall Assessment: Partially implemented

Effectiveness –

1 - GAC attendees’ number is stable over the years 2016-2019 with a rough estimate of 200 attendees per forum, forum category (Community, Policy, AGM) notwithstanding, with a slightly higher rate of Community forum participation. There is no major difference if we consider the participation per meeting nature, as the graphics show. It appears the recommendation implementation, while removing a certain number of barriers, has not been effective in enhancing participation. Further detailed studies would be necessary to target areas of improvement depending of the meetings”.

Note: Overall Government/Intergovernmental organisations attendees (not necessarily participating in GAC) numbers are slightly higher but tend to be aligned in variation with GAC participation (AGM November 2016 being the exception: as a reminder, ICANN transitioned on September 30th, 2016). Hence it appears Governmental participation tends to concentrate on GAC attendance, so further measures to enhance Governmental participation can usefully be concentrated on this body.

2 - Considering previous analyses and GAC 2017 Operating principles, and while recognizing progress can still be made, this recommendation can be considered as overall effective.

3 - Reviewing GAC Operating Principles, it appears some of them can be considered as addressing members best practices: See Principle 20 (commitment to efficiency vs. voting principles), Principle 41, 42, and 43 (members statements and debates organization). In this sense, this recommendation can be considered as partially implemented. On the other hand, while agreeing GAC nature makes it harder to enforce strict rules on its members, it seems a clear and unoffensive definition of best practices as a “set of non-mandatory practices advised to facilitate efficiency and transparent GAC work” could be established on a consensual basis and lead to further progress in

GAC work efficiency. Further work with GAC It is recommended that GAC members explore this avenue. Overall Assessment: Partially effective.

Overall Assessment: Partially effective

Conclusion: Significant improvements have been made by the GAC since the ATRT2 recommendations. Additionally, it should also be noted that this type of recommendation implies more of a continuous improvement process rather than a single outcome.

ATRT3 suggests that the GAC continue with these improvements.

15.24. Recommendation 6.7 - ATRT2 recommends that the Board work jointly with the GAC, through the BGRI working group, to regularize senior officials? meetings by asking the GAC to convene a High-Level meeting on a regular basis, preferably at least once every two years. Countries and territories that do not currently have GAC representatives should also be invited and a stock-taking after each High-Level meeting should occur.

Implementation - This recommendation led to High-Level Governmental Meetings being held in 2012, 2014, 2016, and 2018. Additionally, the Guidelines for GAC High Level Governmental Meetings have been published. However, no new meeting is currently planned. Implementation assessment - Implemented

Effectiveness - The meetings were well-attended and the growth in GAC membership could be partially attributed to holding these meetings. Effectiveness assessment - Effective.

Conclusion: This recommendation has been fully implemented and is effective. No further action is required with respect to this recommendation.

15.25. Recommendation 6.8 - ATRT2 recommends that the Board work jointly with the GAC, through the BGRI working group, to work with ICANN's Global Stakeholder Engagement group (GSE) to develop guidelines for engaging governments, both current and non-GAC members, to ensure coordination and synergy of efforts.

Implementation - The GSE/GE, and GAC had defined a guideline process for their coordination, that can be seen at: <https://gac.icann.org/principles-and-guidelines/public/guidelines-coordination-gse.pdf> and started to be

implemented at the national level. Monthly calls for GSE/GE calls are now including GAC (in general leaderships) and reports are posted. “At the request of the GAC the reports were further revised to arrange information by regions and later the scope of the report was changed to cover three months of activity each time - two months of completed engagement as well as the next months planned engagement are reflected. With the agreement of the GAC leadership the frequency of the reports changed to bi-monthly when the scope of the reports was expanded”. STAFF from both sides have weekly calls to keep track of notes, reports etc. Specially dedicated to Underserved Regions, a joint working group concluded a collaborative capacity-building workshop pilot program to increase outreach. Implementation assessment – Implemented.

Effectiveness – The recommendation is effective as demonstrated by:

GSE/GE AND GAC organized together the High-level meeting in Barcelona at ICANN 63 with a huge success.

2 GAC members had really grown hugely last year.
Effectiveness Assessment – effective.

Conclusion: This recommendation has been fully implemented and is effective. No further action is required with respect to this recommendation.

15.26. Recommendation 6.9 - The Board should instruct the GSE group to develop, with community input, a baseline and set of measurable goals for stakeholder engagement that addresses the following:

- a. Relationships with GAC and non-GAC member countries, including the development of a database of contact information for relevant government ministers;**
- b. Tools to summarize and communicate in a more structured manner government involvement in ICANN, via the GAC, as a way to increase the transparency on how ICANN reacts to GAC advice (e.g. by using information in the GAC advice register).**
- c. Making ICANN’s work relevant for stakeholders in those parts of the world with limited participation; and,**

d. Develop and execute for each region of the world a plan to ensure that local enterprises and entrepreneurs fully and on equal terms can make use of ICANN's services including new gTLDs.

Implementation - In response to Recommendation 6.9 the Board gets regular reports on interaction from the GSE. The GSE team meets and collaborates with the regional teams where they collaborate and manage a joint calendar where they share the events.

In collaboration with the ICANN org's regional GSE and GE teams to facilitate regional discussions. GSE and GE then plan the work to identify and prioritize those activities for the coming year. Part of that planning process is the further development of the community wiki space to encompass the metrics, forums and regional projects. In practice, GSE/GE implementation in the regions is according to community priorities as expressed in the community-driven regional engagement planning and prioritization.

Implementation Assessment - Implemented

Effectiveness - This is a directive and the Board has regular reports on interaction from the GSE. Effectiveness assessment – effective.

Conclusion: This recommendation has been fully implemented and is effective – as such no further action is required with respect to this recommendation.

15.27. Recommendation 7.1 - The Board should explore mechanisms to improve Public Comment through adjusted time allotments, forward planning regarding the number of consultations given anticipated growth in participation, and new tools that facilitate participation.

Implementation – There is a Report on ATRT2 Public Comments Enhancements that is very thorough⁴². A minimum 40-Day Comment Period was set, the average number of days for the comment period is around 50. The 2 weeks deadline for Staff Summary Reports was reinforced, the new process provides for management escalation if the report is not published in time. All Public Comments Requests are redirected through Policy Department and a Staff Advisory Committee was established. As such this is almost completely implemented. ATRT2 required "Forward planning

⁴² <https://community.icann.org/pages/viewpage.action?pageId=56987496>

regarding the number of public comments". Could not find any reference of this but it is difficult to plan how many comments there will be. This recommendation was implemented as it was meant to be at the time it was made. Implementation assessment - Implemented.

Effectiveness - It seems that the Public Comment process is functioning correctly and that the new tools have helped. Effectiveness assessment – Partially effective.

Conclusion – This recommendation has been implemented and is partially effective. No further action is required with respect to this recommendation, but it should be noted that the survey portion of this section will be making some suggestions to facilitate participation.

15.28. Recommendation 7.2 - The Board should establish a process under the Public Comment Process where those who commented or replied during the Public Comment and/or Reply Comment period(s) can request changes to the synthesis reports in cases where they believe the staff incorrectly summarized their comment(s).

Implementation – Implemented as requested but never used. Given the difficulties with Reply Comment period this functionality was discontinued. Since there was never a request to change synthesis reports, even after publicising this option, and given the difficulties with the Reply Comment period where users would simply use this process to put in new comments both of these functionalities were discontinued without any significant protest from the community. Implementation assessment – Implemented.

Effectiveness – Given it was never used the implementation assessment is - Not Effective.

Conclusion – This recommendation was implemented but was not used for the intended purpose. Respondents exclusively used this function as a second chance to provide comments. After reviewing the use of this new function, it was decided to remove it given it was not being used by anyone for the intended purpose - as such no further action is required with respect to this recommendation.

15.29. Recommendation 8 - ((The recommendation states:)) To support public participation, the Board should review the capacity of the language services

department versus the community need for the service using Key Performance Indicators (KPIs) and make relevant adjustments such as improving translation quality and timeliness and interpretation quality. ICANN should implement continuous improvement of translation and interpretation services including benchmarking of procedures used by international organizations such as the United Nations.

Implementation – Many improvements have been made and all official UNO languages are systematically supported through ICANN. The only KPI's available and referred to in the implementation report are in the Accountability Indicators 1.1 (<https://www.icann.org/accountability-indicators>) which on show the number of sessions interpreted for ICANN meeting vs. total number of sessions which seem to clearly fall short of what was requested in the recommendation. Additionally, the Implementation Report clearly indicates that no benchmarking has been done. The Implementation Report does show that there are efforts being made along the lines of continuous improvements but because of the lack of any real KPI's or Benchmarking it is difficult to assess the level of these efforts. Implementation assessment - Partially Implemented.

Effectiveness – Insufficient information to assess.

Conclusion: Some significant improvements have been implemented to the benefit of the community, but the establishment of effective measurements seems to be an ongoing issue (see section on Accountability Indicators). ATRT3 will make a suggestion with respect to its assessment of this recommendation.

15.30. Recommendation 9.4 - Developing a full set of statistical data that will be published annually with each Fiscal Year Annual Report.

Implementation - The focus of the recommendation was on developing a full set of statistical data that will be published annually with each Fiscal Year's Annual Report. This was partially implemented in 2015 and has been continually improving in successive publications since then. Implementation Assessment – Implemented.

Effectiveness - In terms of effectiveness of the recommendation implementation, compliance as evidenced inclusion in annual reports publication could be satisfactory. However, on the community side, there are

no metrics available to measure users' application of statistics obtained on the published data and hence determine if the implementation is effective or not. Effectiveness Assessment – Insufficient information to assess.

Conclusion – As stated in the Implementation assessment this recommendation was implemented. As such ATRT3 will not be making any Recommendations or Suggestions as a result of its assessments.

15.31. ATRT2 Recommendation 10.1 - To enhance GNSO policy development processes and methodologies to better meet community needs and be more suitable for addressing complex problems, ICANN should:

- a. In line with ongoing discussions within the GNSO, the Board should develop funded options for professional services to assist GNSO policy development WGs. Such services could include training to enhance work group leaders' and participants' ability to address difficult problems and situations, professional facilitation, mediation, negotiation. The GNSO should develop guidelines for when such options may be invoked,
- b. The Board should provide adequate funding for face-to-face meetings to augment e-mail, wiki and teleconferences for GNSO policy development processes. Such face-to-face meeting must also accommodate remote participation, and consideration should also be given to using regional ICANN facilities (regional hubs and engagement centers) to support intersessional meetings. Moreover, the possibility of meetings added on to the start or end of ICANN meetings could also be considered. The GNSO must develop guidelines for when such meetings are required and justified, and who should participate in such meetings.
- c. The Board should work with the GNSO and the wider ICANN community to develop methodologies and tools to allow the GNSO policy development processes to utilize volunteer time more effectively, increasing the ability to attract busy community participants into the process and also resulting in quicker policy development.

Implementation – This recommendation was based on the detailed evaluation and analysis of the GNSO Policy Development Process undertaken by InterConnect Communications for ATRT2, and three specific actions were recommended for ICANN to implement; paraphrased they were to a) develop, fund and ensure the availability of professional services to assist PDP WG's to "...include training to enhance work group leaders 'and participants' ability to address difficult problems and situations, professional facilitation, mediation, negotiation..." under guidelines to be developed by

the GNSO; b) Provide adequate funding for "... for face-to-face meetings to augment e-mail, wiki and teleconferences for GNSO policy development processes..."; c) "The Board should work with the GNSO and the wider ICANN community to develop methodologies and tools to allow the GNSO policy development processes to utilize volunteer time more effectively, resulting in quicker policy development." We have observed the provision of some of these Professional Services (specifically facilitated meetings and mediation in the recent EPDP, but no generalised training or in-service development of current PDP WG Leadership has been observed. As well as face to face meetings (again most obviously for the EPDP); but no engagement with GNSO and wider community as outlined in c) beyond the relevant input of some aspects of the Governance Evolution work being undertaken since ICANN 64, though we do note the current and ongoing work of the GNSO Council with its own PDP 3.0 development and so this seems to be not fully implemented but only partially. Implementation assessment – Partially Implemented.

Effectiveness - There is evidence that where the implemented actions have been utilised, they have been effective if not highly effective, based on anecdotal evidence at least, but not all proposed actions have been deployed or as yet implemented and so effectiveness cannot be stated on these. Implementation Assessment - Partially Effective.

Conclusion: Although this recommendation is assessed as only Partially Implemented and Partially Effective, ATRT3 must also take into consideration that there are several significant activities ongoing in other parts of the ICANN Community, such as the GNSO PDP 3.0 and the 'Evolution of the ICANN Multistakeholder Model'. These will potentially have wide ranging effects on the current gTLD PDP process but will only complete their work after ATRT3 has delivered its final report.

As such ATRT3 will refrain from making any specific suggestions with respect to the GNSO PDP process but will rather concentrate on making an overarching strong suggestion regarding any proposed changes to that process.

15.32. ATRT2 Recommendation 10.2 - The GAC, in conjunction with the GNSO, must develop methodologies to ensure that GAC and government input is provided to ICANN policy development processes and that the GAC has effective opportunities to provide input and guidance on draft policy development outcomes. Such

opportunities could be entirely new mechanisms or utilization of those already used by other stakeholders in the ICANN environment. Such interactions should encourage information exchanges and sharing of ideas/opinions, both in face-to-face meetings and intersessionally, and should institutionalize the cross-community deliberations foreseen by the AoC.

Implementation – As it was raised during the ATRT3 interviews with the community at ICANN 65, there is no process established between GNSO and GAC to facilitate communications related to issues that are key to both parties. There should be a complete process like the one defined between the Board and the GAC, with specific adjustments to fit into GNSO. The nature of GNSO makes it more difficult to do this with the GAC vs GAC-Board, but since this recommendation was made by ATRT2 both sides are trying to improve communications. This is a work in progress that needs to continue. Implementation assessment - Partially Implemented.

Effectiveness - Some alternatives to improve communication and effectiveness have been tested, but at this time we cannot consider the effectiveness. Effectiveness assessment - Insufficient Information.

Conclusion: ATRT3 recognizes that the history between the GAC providing and the GNSO accepting input into the policy development process has been and remains inconsistent per this ATRT2 recommendation. While the community may believe that there is no process established between the GAC and the GNSO to facilitate participation there are examples such as the Public Safety Working Group that has engaged early and consistently on topics where clear positions are established and reinforced early enough for the GNSO to consider this input as part of the policy deliberation and recommendation process. ATRT3 has already made a suggestion in Section 4 of this report that “ATRT3 suggests that the GAC, considering the success of the current mechanisms that are in place for interacting with the Board, work with the GNSO to implement similar mechanisms to facilitate interactions between the GAC and the GNSO.” which address this issue.

15.33. Recommendation 10.3 - The Board and the GNSO should charter a strategic initiative addressing the need for ensuring more global participation in GNSO policy development processes, as well as other GNSO processes. The focus should be on the viability and methodology of having the opportunity for equitable, substantive and robust participation from and representing:

- a. All ICANN communities with an interest in gTLD policy and in particular, those represented within the GNSO;
- b. Under-represented geographical regions;
- c. Non-English-speaking linguistic groups;
- d. Those with non-Western cultural traditions; and
- e. Those with a vital interest in gTLD policy issues but who lack the financial support of industry players.

Implementation – The language of the recommendation and report makes it somewhat difficult to discern which programs are designed specifically to address this implementation. However, the Leadership Program, Community Regional Outreach Program, and mentorship efforts can all be considered to fulfill this recommendation. Implementation Assessment: Implemented.

Effectiveness: Implementation effectiveness has not been shown by the limited testing of such action. Effectiveness assessment - Partially Effective

Conclusion: Although this recommendation is assessed as Implemented and Partially Effective, ATRT3 must also take into consideration that there are several significant activities ongoing in other parts of the ICANN Community, such as the GNSO PDP 3.0 and the 'Evolution of the ICANN Multistakeholder Model'. These will potentially have wide ranging effects on the current gTLD PDP process but will only complete their work after ATRT3 has delivered its final report.

As such ATRT3 will refrain from making any specific suggestions with respect to the GNSO PDP process but will rather concentrate on making an overarching strong suggestion regarding any proposed changes to that process.

- 15.34. Recommendation 10.4 - To improve the transparency and predictability of the policy development process the Board should clearly state to what degree it believes that it may establish gTLD policy in the event that the GNSO cannot come to closure on a specific issue, in a specified time-frame if applicable, and to the extent that it may do so, the process for establishing such gTLD policies. This statement should also note under what conditions the Board believes it may alter GNSO Policy Recommendations, either before or after formal Board acceptance.**

Implementation – Evidence to support implementation is limited to checklist type statement of 'implemented' and there has been little opportunity to

test this is in fact the case. It is notable that this specific aspect of Board opinion or statement was lacking in the recent Board Resolution relating to its only partial acceptance of Recommendations from the work of the EPDP Phase 1. Implementation assessment – Not implemented.

Effectiveness: Not Applicable.

Conclusion: Although this recommendation is assessed as Not Implemented, ATRT3 must also take into consideration that there are several significant activities ongoing in other parts of the ICANN Community, such as the GNSO PDP 3.0 and the 'Evolution of the ICANN Multistakeholder Model'. These will potentially have wide ranging effects on the current gTLD PDP process but will only complete their work after ATRT3 has delivered its final report.

As such ATRT3 will refrain from making any specific suggestions with respect to the GNSO PDP process but will rather concentrate on making an overarching strong suggestion regarding any proposed changes to that process.

15.35. Recommendation 11.1 - The Board should ensure that the ongoing work of the AoC reviews, including implementation, is fed into the work of other ICANN strategic activities wherever appropriate.

Implementation - The AoC Reviews are currently referred to as Specific Reviews and are mandated in section 4.6 of the Bylaws. They include the Accountability and Transparency (ATRT) reviews, the Competition, Consumer Trust and Consumer Choice (CCT) reviews, the Security, Stability and Resiliency (SSR) reviews and Registration Directory Service (RDS) reviews. Implementation of recommendations is tracked in the <https://www.icann.org/resources/reviews/specific-reviews>. The SSR2 team has thus far found that many of the SSR1 recommendations were not implemented or not effective, contradicting ICANN's own assessments. There are significant concerns about delays in completion of this new round of reviews, and delay or lack of acceptance of the CCT recommendations. Implementation assessment – Not Implemented.

Effectiveness – Not effective.

Conclusion: The Board has been overwhelmed with recommendations, many of which the Board is not in a position to execute on its own, and which in total appear to be cost-prohibitive for ICANN to implement. This goes to the issue of prioritization which will be addressed in Section 12 of this report.

15.36. Recommendation 11.2 - The Board should ensure strict coordination of the various review processes so as to have all reviews complete before next ATRT review begins, and with the proper linkage of issues as framed by the AoC.

Implementation - The reviews schedule to meet this objective was put up for public comment and finalized in 2015 intended to allow for all reviews to be completed prior to the beginning of the next ATRT review. Unfortunately, the SSR2 review is not yet completed, the CCT recommendations have not been processed, and the CCWG-Accountability WG recommendations have not yet been implemented. Implementation assessment – Not implemented.

Effectiveness – Not effective.

Conclusion – ATRT3 will consider its ATRT2 implementation assessments along with the responses to the ATRT3 survey questions regarding Specific Reviews when considering making a general recommendation regarding reviews.

15.37. Recommendation 11.3 - The Board should ensure that AoC Review Teams are appointed in a timely fashion, allowing them to complete their work in the minimum one (1) year period that the review is supposed to take place, regardless of the time when the team is established. It is important for ICANN to factor in the cycle of AoC reviews; the Review Team selection process should begin at the earliest point in time possible given its mandate.

Implementation - The Board can trigger any review, but it is no longer in charge of selecting the members of the (ex-AOC) review teams. The decision to start a RT is taken by both the Board and the empowered community. We can therefore consider this as implemented. Implementation assessment - Implemented.

Effectiveness – Partially effective.

Conclusion – ATRT3 will not be making any Suggestions or Recommendation with respect to this recommendation.

15.38. Recommendation 11.4 - The Board should prepare a complete implementation report to be ready by review kick-off. This report should be submitted for public consultation, and relevant benchmarks and metrics must be incorporated in the report.

Implementation- ATRT3's kickoff meeting was 3-5 April 2019. The implementation report, which was only a set of slides, was first sent to the list on 23 April 2019 and did not contain any relevant benchmarks or metrics. ICANN org. did eventually point the review team to the Executive Summaries which detailed the implementation of the ATRT2 recommendations. Additionally, there was no public comment on this document as ICANN org. interpreted "public consultation" to mean that publishing this would meet this requirement. Implementation assessment: Partially Implemented.

Effectiveness – Given this is the first ATRT review since this recommendation was made by ATRT2 and considering the significant issues with respect to its implementation for ATRT3 the implementation cannot be considered effective. Effectiveness assessment: Not effective.

Conclusion: As outlined in various sections of this report, ATRT3 found significant issues in its assessment of the implementation report (the Executive Summaries – see section 9 of this report). This being said, ATRT3 recognises the implementation of, and likely positive effects of, the new tracking options in the Reviews section of the ICANN website, as well as the Operating Standards for Specific Reviews adopted by the ICANN Board in June 2019. However, given the significant issues ATRT3 has identified with ICANN's implementation and reporting of implementation of the ATRT2 recommendations coupled with the untested changes which should address this, ATRT3 suggests that:

- The Board follow through with requesting an Implementation Shepherd (Section 4.5 of the Operating Standards) from ATRT3 for the implementation of its suggestions and recommendations
- ICANN open a Public Comment Proceeding on its implementation of the ATRT3 suggestions and recommendations such that the Implementation Report is available at the launch of the next ATRT type review (recognizing ATRT3 will be making recommendations with respect to Specific Reviews).

15.39. Recommendation 11.5 - The ICANN Board should ensure in its budget that sufficient resources are allocated for Review Teams to fulfill their mandates. This should include, but is not limited to, accommodation of Review Team requests to appoint independent experts/consultants if deemed necessary by the teams. Before a review is commenced, ICANN should publish the budget for the review, together with a rationale for the amount allocated that is based on the experiences of the previous teams, including ensuring a continuous assessment and adjustment of the budget according to the needs of the different reviews.

Implementation - As stated in the Implementation Report "A standard process for budgeting for AoC reviews has been established via a budget worksheet. Developing budgets for the next round of AoC Reviews has been completed as part of the FY16 Operating Plan and Budget which was approved by the Board in June 2015 and is currently underway for FY 17." which all evidence points to being exact including this ATRT3 Review. Implementation assessment – Implemented.

Effectiveness - From a transparency point of view the Review Fact Sheets provide great transparency into a review's progress on all fronts including financially. This brought to light the almost doubling of the expenses vs the original budget for the CCT review however it is unclear what accountability was associated with this? It is difficult to fault the review team as the budget for all specific reviews is set at a specific amount, currently 550K\$, prior to the review team being selected and determining its work plan. Effectiveness assessment – Partially Effective.

Conclusion: The ATRT3 recognises and endorses the importance of ATRT2 Recommendation 11.5 and notes that it has generally been implemented. ATRT3 suggests that Review Teams assess their allocated budget with staff once they have established a work plan. Review Teams should be allowed to request reasonable and justified amendments as necessary to ensure they can complete their task. The Review Team and staff should review the budget at regular intervals during the course of the project and could request to have it amended it under exceptional circumstances.

15.40. Recommendation 11.6 - The Board should address all AoC Review Team recommendations in a clear and unambiguous manner, indicating to what extent they are accepting each recommendation.

Implementation – Since this ATRT2 recommendation was made the only AOC/Specific review which has completed its work is the CCT-RT where the Board has published which recommendations it would accept (<https://www.icann.org/resources/board-material/resolutions-2019-03-01-en#1.a>) and which it would “pass on” but is unclear on the 17 recommendation it has placed in pending status.

Implementation assessment – Not Implemented.

Effectiveness – Given the implementation assessment one must conclude that this recommendation is not effective. Effectiveness assessment – not effective.

Conclusion – This goes to the issue of prioritization which will be addressed in Section 12 of this report.

15.41. Recommendation 11.7 - In responding to Review Team recommendations, the Board should provide an expected time frame for implementation, and if that time frame is different from one given by the Review Team, the rationale should address the difference.

Implementation - The Board has only considered recommendations from the one Review that has completed -- CCT-RT. For these recommendations, the Board accepted 6, placed 17 in “pending” status, and “passed through” 14 recommendations to other community groups. For the 6 approved recommendations, neither the Board resolution nor its implementation plan include or reference any expected time frame, nor did they comment on the time frames given by the Review Team. The implementation plan seems to rely on public comments with respect to time frames:

Next Steps: In exercising its fiduciary duty, the Board intends to consider the proposed plan for implementation as well as community feedback received on the proposed path forward and considerations specific to each recommendation. Once the community input adequately considered, the ICANN Board will direct ICANN org to produce a detailed implementation plan that results in the implementation of recommendations 1, 17, 21, 22, 30, 31, including any adjustments the input received through the public comment proceeding may potentially prompt. Further implementation details, including resources availability, scheduling, will be supplemented

with specific details and budget plans once the implementation steps are underway.

(<https://www.icann.org/en/system/files/files/cct-rt-final-08sep18-en.pdf>)

The ATRT3 notes that the ICANN Board has recognized the reality of the overwhelming number and scope of recommendations, and in June 2019 implemented new Operating Standards for Specific Reviews, with requirements that attempt to navigate this challenge:

- "...transparent exchange between the review team, subject matter experts, ICANN organization, ICANN Board must occur so that the identified problems, the recommended solutions, and the expected impact of implementation is clearly defined and well understood by all."
- "The review team shall take into consideration the expected impact of implementation on ICANN resources and on the ICANN community workload. Also, the review team should consider whether there is sufficient community capacity and expertise to ensure successful implementation. These considerations should not limit the number of recommendations."

The ATRT3 also notes that the SSR2 review team did not accept these (then optional) new Operating Standards, and the ATRT3 considers them in the experimental stages now -- our understanding is that the ATRT3 team is the first review team to attempt to operate under them. It is not clear whether this level of analysis (i.e., expected impact on community resources and workload) is reasonable to expect from a set of volunteers.

Implementation assessment – Not Implemented.

Effectiveness – Given the implementation assessment one must conclude that this recommendation was not effective. Effectiveness assessment – not effective.

(<https://www.icann.org/en/system/files/files/cct-rt-final-08sep18-en.pdf>)

Conclusion – Given the assessment by ATRT3 that this recommendation was not implemented ATRT3 suggests that the Board implement this recommendation as it was originally proposed by ATRT2.

15.42. Recommendation 12.1 - The Board should implement new financial procedures in ICANN that can effectively ensure that the ICANN community,

including all SOs and ACs, can participate and assist the ICANN Board in planning and prioritizing the work and development of the organization.

Implementation - This seems fully implemented. There has been community involvement. The Board does everything to include the community in every step with regard to planning and prioritizing ICANNs work. And it is listening to the community. Community members have noted that sometimes the workload for them is too much. One member of the ICANN Community Finance Group noted that he never had a question rejected and did see the CFOs work as "extremely transparent and responsive to any questions". It is also important to note that the Empowered Community now has to approve to budget. Implementation assessment – Implemented.

Effectiveness - Although the process is quite transparent and open to community input the sheer complexity and volume of information provided require significant knowledge and experience as well as time to participate effectively. Providing information which the average member of the community could understand easily and comment on effectively with only the requirement of investing a few hours would go a long way to increasing the Transparency and Accountability of the process. Effectiveness assessment – Partially Effective.

Conclusion: As noted this recommendation has been implemented but as stated in the Effectiveness assessment there could be improvements to allow for greater participation.

As such ATRT3 will be making suggestions to improve the process to allow for greater participation to assist the ICANN Board in planning and prioritizing the work and development of the organization and the community.

15.43. Recommendation 12.2 - The Board should explicitly consider the cost-effectiveness of ICANN’s operations when preparing its budget for the coming year, in keeping with ICANN’s status as a non-profit organization operating and delivering services in a non-competitive environment. This should include how expected increases in the income of ICANN could be reflected in the priority of activities and pricing of services. These considerations should be subject of a separate consultation.

Implementation - As evidenced in the post IANA transition and CWG Accountability WS1 Bylaw changes this recommendation appears to be fully

implemented with the current methodology for the annual preparation and reporting on the ICANN Operating Budget and Financial Assumptions which includes the longer-term strategic planning periods. Implementation assessment – Implemented.

Effectiveness - Effective

Conclusion: As stated in the Implementation assessment this recommendation was implemented and is effective. As such ATRT3 will not be making any Recommendations or Suggestions as a result of its assessments.

15.44. Recommendation 12.3 - Every three years the Board should conduct a benchmark study on relevant parameters, (e.g. size of organization, levels of staff compensation and benefits, cost of living adjustments, etc.) suitable for a non-profit organization. If the result of the benchmark is that ICANN as an organization is not in line with the standards of comparable organizations, the Board should consider aligning the deviation. In cases where the Board chooses not to align, this has to be reasoned in the Board decision and published to the Internet community.

Implementation - This seems to be (unless there is source material or study done and not readily searchable within ICANN.org public records) marked as Done but it is not done nor is it clearly explained with a rationale as to why it was not done/superseded or not adopted by the Board as per the recommendation from ATRT2. Noting that both the early original One World Trust external review on ICANN Accountability and Transparency as well as the following one commissioned from ATRT1 recommendations which also recommended regularity in benchmarking studies. Recognising the difficulty in finding a good match for ICANN in type of organisation for benchmarking it is disappointing that an adoption of Accountability Indicators / KPIs / Metrics etc., can be proposed as an alternative or in isolation from such occasional comparison exercises to cross organisational benchmarking. Not completed, not implemented, superseded or not done/rejected without rationale and clear explanation. Implementation assessment – Not Implemented

Effectiveness – Insufficient information to assess.

Conclusion – Benchmark studies, if done properly, are an effective tool in helping to assess accountability. Given that this ATRT2 recommendation was

made in December 2013 and that the requested benchmark study has not yet been produced at the time of the writing of this report in 2019 is of great concern to ATRT3.

The implementation report⁴³ of October 2018 noted that:

12.3 – “ICANN currently identifies targets in its KPI Dashboard which informs the Annual Report that is reviewed and approved by the ICANN Board. Benchmark references will be included in the KPI Dashboard once a comparable non-profit organization is identified. The estimated time for the first benchmarking study to be completed is FY18.”

As such ATRT3 will be making a strong suggestion with respect to this assessment.

15.45. Recommendation 12.4 - In order to improve accountability and transparency ICANN’s Board should base the yearly budgets on a multi-annual strategic plan and corresponding financial framework (covering e.g. a three-year period). This rolling plan and framework should reflect the planned activities and the corresponding expenses in that multi-annual period. This should include specified budgets for the ACs and SOs. ICANN’s (yearly) financial reporting shall ensure that it is possible to track ICANN’s activities and the related expenses with particular focus on the implementation of the (yearly) budget. The financial report shall be subject to public consultation.

Implementation - This is fully implemented. ICANN now performs public consultations on both strategy and financial planning topics. This is operationalized very effectively through two major processes. The formal process of the 5-year strategic plan development is performed by ICANN Org, this high level strategic plan is then open for public comment. There is evidence of extensive incorporation of community feedback into the strategic plan. The 5-year strategic plan is used to inform the annual operating financial plan for the organization, which is also published for public comment and revision. Additionally, the community's role in this process has been expanded post IANA transition whereby the Empowered Community has a veto right over the budget if it disagrees with the budget as presented. There was some thought to doing two years budgets, but that did

⁴³ ATRT2 Implementation Executive Summary: October 2018 - [https://community.icann.org/display/atrt/ATRT2+Implementation+Program?preview=/48350211/96214045/Recommendations%201-12%20\(Oct%202018\).pdf](https://community.icann.org/display/atrt/ATRT2+Implementation+Program?preview=/48350211/96214045/Recommendations%201-12%20(Oct%202018).pdf)

not get acceptance from the community. implementation assessment is Implemented.

Effectiveness - Although the process is quite transparent and open to community input the sheer complexity and volume of information provided requires significant knowledge and experience as well as time to participate effectively. Providing information which the average member of the community could understand easily and comment on effectively with only the requirement of investing a few hours would go a long way to increasing the Transparency and Accountability of the process. Effectiveness assessment – Partially Effective.

Conclusion: This recommendation has been implemented but as stated in the Effectiveness assessment there could be improvements to allow for greater participation. As such ATRT3 will consider making suggestions to improve the process to allow for greater participation.

15.46. Recommendation 12.5 - In order to ensure that the budget reflects the views of the ICANN community, the Board shall improve the budget consultation process by i.e. ensuring that sufficient time is given to the community to provide their views on the proposed budget and sufficient time is allocated for the Board to take into account all input before approving the budget. The budget consultation process shall also include time for an open meeting among the Board and the Supporting Organizations and Advisory Committees to discuss the proposed budget.

Implementation - The current processes to develop the Strategic Plan, Five-Year Operating Plan, and Annual Operating Plan and Budget all incorporate a variety of methods to either provide outreach to the ICANN community and/or request input from the ICANN community through webinars and public comment periods. implementation assessment – Implemented.

Effectiveness - In terms of effectiveness, it's clear that methods for community input have been implemented and are effective as an outlet for community opinion. However, it's difficult to measure effectiveness in the sense of ensuring "the budget reflects the views of the ICANN community" without ongoing metrics or research to track the level of acceptance and approval within the community. Effectiveness assessment – Partially Effective.

Conclusion – Given the recommendation has been assessed as implemented but only partially effective ATRT3 will be making a suggestion with respect to gathering sufficient data to track the level of acceptance and approval within the community.

ANNEX B: Detailed Survey Results and Analysis

16. Detailed Survey Results and Analysis

ATRT3 conducted two [surveys](#), one for individual respondents and one for Structures (SO/ACs, including GNSO constituent bodies and RALOs) from August 20th to September 23rd, 2019. The survey for Community Structures was essentially the same survey that was proposed to individuals but with the possibility to input text comments on several questions. 15 of 17, or 88%, of SOs, ACs, GNSO constituent bodies and RALOs responded to the Structures survey (2 GNSO constituent bodies did not respond) which represents a statistically valid sampling of these. Of the 88 individuals who responded to the survey, only about 50 completed it, which given the size of the ICANN community does not represent a statistically valid sampling of the individuals which make up the community.

Survey questions related to Section 3 Board:

16.1. Please indicate your satisfaction with the Board's performance overall

16.1.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Very satisfied	4	7%	0	0%
Satisfied	27	48%	8	57%
No opinion	9	16%	3	21%
Somewhat dissatisfied	8	14%	3	21%
Very dissatisfied	8	14%	0	0%

16.1.2. Comment

- AT-LARGE - The Board is certainly trying to find its way in a post transition world, with static or declining revenue projections, the disruption of the GDPR and far too many suggestions for organizational reform in the near term. That said, the behavior of the Board is of people doing "their best," but not necessarily a reflection of increased accountability to the community. Unfortunately, the optics are just the opposite. It is important that the Board as a whole be accountable and not just attempt to portray that picture. A few examples of lack of accountability rise to the top.

It is perceived that the Board unilaterally “paused” the SSR2 for reasons they deemed sufficient but yet appeared to be the result of the review team asking uncomfortable questions and differences in opinion between one board member and the SSR2 team leadership. This is simply NOT something the Board would have allowed to happen pre-transition. The notion of the Board shuttering an accountability mechanism is ridiculous and therefore that event should have been handled differently in consultation with the community.

Second, after setting a precedent of accepting ALL recommendations from review teams, the Board chose the very first review after the transition, the CCT Review, to suddenly become conservative about organizational reform. While it’s true that accepting all of the previous recommendations was a mistake and led to poor implementation, the optics of that sea change at that time were certainly not good. The board needs to take the extra step of involving the community in decisions that, in particular, involve changing expectations around accountability.

- EURALO Input: The ICANN Board is composed of members of the community as well as other people chosen by the Nominating Committee. Whilst some compensation is received by Board members, these are primarily volunteer positions which actually require a lot of work. Given these parameters, one could say that the Board performance is satisfactory overall. However, this is overshadowed by the unpredictable nature of some of the Board’s decisions, more specifically, the inability of the Board to come up with reasonable rationale for some of its decisions. Such rationale forms a key part of the Board’s accountability, as it is through the communication of its decision-making reasons, that the community can see whether its recommendations were upheld or not.

16.1.3. Analysis

Individual responses of 55% very satisfied or satisfied vs. 28% somewhat dissatisfied or very dissatisfied for a net of 27% very satisfied or satisfied is similar to the Structure responses and is a weak show of support

16.1.4. Conclusion:

The net of 27% which are satisfied or very satisfied is weak and warrants ATRT3 considering making a recommendation or suggestion to address this.

This, at least in part, is related to ATRT2 recommendation 2 which recommended, “The Board should develop metrics to measure the effectiveness of the Board's functioning and improvement efforts, and publish the materials used for training to gauge levels of improvement”. This was assessed by ATRT3 as only partially implemented and impossible to assess the effectiveness given there were no effective metrics provided.

As such ATRT3 will make the same suggestions here as it did in the conclusion of the assessment of ATRT2 recommendation 2:

- The Board should establish the same targets it uses for publishing agendas and minutes of Board meetings for the agendas and minutes of all its official committees and publish these in the Accountability Indicators.
- All of these relevant indicators of Board performance should be grouped in a single area of the Accountability Indicators.
- Board minutes should indicate how members voted, including in Executive Sessions.
- Board minutes should include, in addition to the rationale, summaries of the main discussion points covered prior to taking votes.

16.2. How does your Structure feel regarding the Board’s interaction with your SO/AC? (Question only for structures)

16.2.1. Response

Response	Structure #	Structure %
Very satisfied	0	0%
Satisfied	8	53%
No opinion	1	7%
Somewhat dissatisfied	5	33%
Very dissatisfied	1	7%

16.2.2. Comments

- AT-LARGE - The At-Large experience with the Board is a mixed bag. On the one hand, the board was very open to modifications to the recommendations of the At-Large Review that didn't make sense and have worked with the At-Large to execute a more specific plan to address the findings.

On the other hand, it is, and to some extent, has always been the case that the organization is mostly focused on the welfare of the industry it supports and less so on the individual end users that ultimately feel the impact of ICANN policies. The entire operational readiness effort surrounding a new round is focused entirely on the convenience and predictability enjoyed by applicants. Again, the optics of stressing that first rather than basic operational readiness for growth of the DNS seems backward and gives the appearance that the board is more concerned about revenue than a secure and stable internet with high consumer trust.

We have been well represented by our At-Large representatives, but they have been a lone voice that represents the interests of global end-users. Our present Board representative makes great efforts to spread himself across the many At-Large involvements and to attend as many meetings as he can to present Board information or just to answer questions and to take our views back to the Board. From Leon's support and intervention, At-Large was able to get the backing we needed to hold the ATLAS and also gained some important support for our At-Large Review Implementation.

- AT-LARGE – AFRALO - We welcome NomCom 2019 selection of 2 incoming African board members replacing the current outgoing African board members. The NomCom should always ensure regional/gender diversity in the board composition.
- AT-LARGE-EURALO – Very dissatisfied - The experience of EURALO with the Board has been solely confined to interaction between EURALO and the Board. Whilst the ICANN CEO has made strides to have a regular call with RALOs, neither the Board as a whole nor the Board Chair have attended any EURALO call or meeting. So, for end users, the ICANN Board is even less accessible than the ICANN CEO -

so the following paragraph may come as a surprise to some Board members:

There is a genuine concern amongst participants in our RALO that the Board is essentially concerned about the wellbeing of ICANN finances above and beyond the public interest and that this influences many Board decisions in matters of income, for example through allowing ICANN's operational readiness to open another round of new gTLD applications that could provide further income for ICANN. This reinforces the concern that appeals from our community for a stable Internet with high consumer trust have fallen on deaf ears, by being overshadowed with the Board's concern to promote a dynamic, growing DNS industry. The majority of end users are not domain name registrants and the needs of this majority are regularly ignored by the Board.

- GNSO- BC – somewhat dissatisfied - because board often fails to distinguish BC as a unique constituency. The BC is under the label of CSG (Commercial Stakeholder Group), but the BC is not represented by the CSG.
- GNSO- IPC – somewhat dissatisfied - The IPC only formally interacts with the Board as part of the Commercial Stakeholders Group at ICANN meetings. The current House structure of the GNSO Council lumps together unrelated or only tangentially related interests, denying an opportunity for these communities to reflect the unique interests and concerns of their constituents at ICANN. When the IPC does get to interact with the Board, the face-to-face meetings revolve around prepared statements being read to the Board. By contrast, we find informal discussions with GNSO appointed Board members valuable. The IPC welcomes a more constructive engagement with the Board in which the Board could leverage the IPC's expertise in matters of intellectual property law.
- GNSO- RrSG – somewhat dissatisfied - At the 2019 GDD Summit, the RrSG, alongside the RySG, previously raised our desire to improve what are sometimes felt to be unconstructive interactions (for both sides) between CPH & the Board by changing the format of the meeting. Our proposal was to break out into small groups, each with at least one Board Member on it, that would discuss specific,

pre-advised, topics and then share the key talking points and takeaways with the plenary. Topics and actions items from CPH and Board interactions should be tracked to improve accountability. The CPH hopes to trial this alternative format at ICANN66 in Montreal.

- GNSO-RySG - somewhat dissatisfied - The structure of the Board’s interactions with community groups during ICANN meetings has been unsatisfactory for some time now. Our members get little value out of the meeting with the Board on Constituency Day, particularly because the questions and responses feel preplanned and there is little room for the Board to speak freely. That said, the RySG does feel that other forms of outreach by the Board have been an improvement, including the increased visibility that has been provided by efforts like the Chair’s blog posts prior to and following Board workshops. We have also been very pleased with having Becky Burr as our CPH-appointed Board member, as she is proactive in providing the RySG with relevant updates and makes herself available to discuss Board-related matters with the RySG.

16.2.3. Analysis

The 40% somewhat dissatisfied or very dissatisfied indicates that there is an issue. All of the written comments were from either GNSO or At-Large components.

16.2.4. Conclusion

ATRT3 notes that the dissatisfaction is associated with SOs and ACs that have formal sub-structures associated with them.

ATRT3 will make a suggestion with respect to the issues raised in this section.

16.3. Do you consider the diversity amongst Board members satisfactory?

16.3.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Yes	28	52%	5	36%
No	26	48%	9	64%

Response	Individual #	Individual %	Structure #	Structure %	
Gender	10	40%	7	88%	
Geographical/regional representation	14	56%	6	75%	
Stakeholder group or constituency	14	56%	4	50%	
Age	5	20%	3	38%	
Language	6	24%	1	13%	
Diverse skills	6	24%	1	13%	
Physical disability	5	20%	1	13%	

Those that responded no selected the following reasons for their response (multiple selections allowed):

16.3.2. Comments

- AT-LARGE - The Board is supposed to be composed of individuals working for the common interest of the community. How do we make sure they understand individual end-user needs better and consistently project those needs? After all, these end-users form the largest ultimate beneficiary group to ICANN’s mission to ensure the stable and secure operation of the Internet’s unique identifier systems, per its Bylaws. At-Large is charged with acting in the interest of end-users and at the ICANN Board level, endeavors to do so through its rigorously selected Board member. But with only one At-Large selectee seat on the Board, there is absolutely no possibility to show any diversity from the perspective of individual end-users -- be it geographical, gender, language or any other. This is unfortunate, as such end users’ experiences and input probably vary more than with any other stakeholder group/constituency.

Suggestions for improvements - At-Large to have two selectee seats on the Board. Alternatively, there should be more structured avenues and opportunities for At-Large to influence discussions at the Board beyond just providing At-Large Advice and the existing joint sessions at ICANN meetings.

- AT-LARGE – EURALO – No - Whilst EURALO has responded “No” to this question, our members recognize that diversity amongst Board members is improving, but it is still not as geographically, gender

and stakeholder balanced at it could be. Improvements are still in order.

EURALO agrees with the At-Large input that basically says that with only one seat on the board, there is absolutely no possibility to show any diversity from the perspective of individual end-users -- be it geographical, gender, language or any other. This is unfortunate, as such end users' experiences and input probably vary more than with any other stakeholder group/constituency.

Better representation of the individual end user on the Board would be a good thing. Currently, there is only one board seat occupied by an At-large-selected representative but even if another is not held but a direct representative, selecting one whose primary use of the internet is as an end user would be a good idea.

Suggestions for improvements - The ICANN NomCom should strive to select people that are stakeholders unconnected to the domain name industry. The At-Large should be afforded an additional Board seat.

- AT-LARGE - NARALO Chair and Secretariat – No - We think we lack any Youth representation or any Youth Shadow cabinet concept. It's also clearly not gender balanced. At-Large should have a second position on the board to provide a more balanced representation. Work on recruitment with Women on Boards organizations and other gender board diversification strategy
- GAC – No - GAC members have observed that, if Board liaison positions are excluded, only 4 out of 15 elected Board members are female. This ratio could be improved. GAC members have also noted that Board members with strong connections to “Western” and “developed” countries tend to be more strongly represented than from emerging or less developed countries. (Concept and similar language proposed by Switzerland)
- GNSO – RrSG – No - The RrSG would welcome a Board that was composed of more than 30% women and with greater representation from the Asia Pacific region (other than Australia and New Zealand to better reflect cultural diversity in this vast

region which has 50% of the global Internet users) and sub-Saharan Africa.

- GNSO – RySG – No - It would be useful to have more Board members with a greater understanding of the DNS industry.
- Individual – No - The bylaw should be amended to reduce the maximum number of directors from any region to 4 and ensure rotational balance among people groups from the region.
- Individual – No - The Asia-Pacific region is considerably diverse and is the largest region within ICANN, with approximately 61% of the world’s population and the global end-user population. This diversity and the size is not reflected in the Board’s composition. Further.
- Individual – No - Work on recruitment with Women on Boards organizations and other gender board diversification strategy.
- Individual – No - Request that 50% of the candidates be women.

16.3.3. Analysis

Individual responses were essentially split but Structures with 64% no indicates a significant issue.

16.3.4. Conclusion

There is obviously a significant and widespread concern amongst the ICANN community regarding diversity given 48% of individuals and 64% of Structures did not consider the diversity of the Board satisfactory. ATRT3 will make a suggestion regarding Board Diversity and should consider referencing the CCWG-Accountability WS2 recommendations on diversity.

16.4. How satisfied are you with the Nominating Committee’s selection of Directors for the ICANN Board?

16.4.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
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Very satisfied	7	13%	1	7%
Satisfied	27	50%	9	64%
No opinion	10	19%	2	14%
Somewhat dissatisfied	4	7%	1	7%
Very dissatisfied	6	11%	1	7%

16.4.2. Comments

- AT-LARGE – EURALO – very satisfied - The ICANN Nominating Committee is doing an excellent job in its selection to address Board imbalance.
- GNSO – BC – dissatisfied - As described in the BC comment in Jun-2019 on Multistakeholder model evolution:
One factor that fuels in-GNSO disputes is the limited number of GNSO seats on the Board, which are only 2 of the 15 seats. Considering that gTLDs are responsible for 98% of ICANN’s revenue and for most of ICANN’s policy work, 2 seats seems like an insufficient representation for the GNSO. One way to get around this would be to give 2 of the 8 NomCom seats to the GNSO. This would still allow the NomCom to name 6 of the 15 board members, while giving more room to accommodate the many stakeholders of the GNSO. A potential working model would be that each of these GNSO stakeholder groups would get one board seat: Registrars, Registries, Commercials, Non-Commercials.

The BC suggests that the weighted voting be removed, the structure of the GNSO Policy Council be returned to its former state, and that the balance of representation on the Board is better considered, so that all stakeholders feel properly represented and thus more willing to engage in a more productive manner, knowing that their voice would ultimately have a clear carrier on the Board.

- GNSO – RySG – No opinion - It is the RySG’s understanding that the NomCom is encouraged, or perhaps instructed, to seek out candidates outside of the domain industry. As mentioned previously, the RySG believes that Board members would benefit from a stronger understanding of our industry. Therefore, we believe this discrepancy should be reconciled to ensure that the

NomCom are identifying candidates with the right skills to serve successfully on the Board.

- RSSAC – somewhat dissatisfied - The ICANN Board could benefit from Directors with more technical abilities. Generally, the ICANN Board could benefit from a higher level of technical expertise

16.4.3. Analysis

Individual responses of 63% satisfied or very satisfied vs. 18% that are somewhat dissatisfied or very dissatisfied produces a net of 45% that are satisfied or very satisfied which shows very good support.

Structure responses of 71% satisfied or very satisfied vs. 14% that are somewhat dissatisfied or very dissatisfied produces a net of 57% that are satisfied or very satisfied which shows strong support.

The GNSO-BC comment is more about representation on the Board and the voting structure of the GNSO vs. responding to the question.

The RySG recommendation that Board members should have greater understanding of the domain name industry is noted with the understanding that ICANN should represent all types of users.

16.4.4. Conclusion

Given the nature of the stakeholder community in ICANN one should consider the net satisfaction as very good. One should also consider the upcoming changes that will be implemented in the NomCom following the acceptance of the recommendations from its review. ATRT3 will not be making any recommendations or suggestions regarding this issue.

16.5. **Do you feel that the NomCom, as currently constituted, is a sufficient mechanism for fostering nominations that have adequate stakeholder and community buy in?**

16.5.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Yes	26	54%	4	33%
No	22	46%	8	67%

16.5.2. Comments

- AT-LARGE – EURALO – No - Yes, for members of the ICANN Board selected by the NomCom. No for At-Large members selected by the NomCom - often, the person selected has not been adequately briefed about what to expect and a pre-appointment meeting with the At-Large Leadership Team would probably help clear this misunderstanding prior to the person taking on this position.
- AT-LARGE – NARALO Chair and Secretariat – No - Not all the people that are sent to the NomCom have the experience to do a good vetting. So/AC should be more careful as to the people that the select to the NomCom.
- CCNSO - Either the number of NomCom members needs to be lowered for over-represented communities (GNSO, At-Large) or the number of members from other under-represented SO/ACs needs to be increased. For the sake of efficiency (financial and otherwise) the first solution is preferred.
- GAC – (no response) - GAC Answer - The GAC has a dedicated working group addressing NomCom matters and based on recent discussions with the NomCom leadership (e.g., at the ICANN64 Kobe, Japan meeting) the GAC has been able to establish and share specific and formally recommended criteria for NomCom consideration in the future selection of prospective ICANN leaders (see for example 6 August 2018 Letter from Manal Ismail to Zahid Jamil). The GAC hopes to continue that effort in the years to come as the GAC discussions about NomCom representation continue.
- SSAC - It is an inefficient process, the Board may be better served by using an external recruitment agency to propose candidates subject to community approval. For further comments, please see SSAC2018-03: SSAC Comments on the Independent Review of the ICANN Nominating Committee Assessment Report

(<https://www.icann.org/en/system/files/files/ssac2018-03-14feb18-en.pdf>).

- RSSAC – No - We believe the technical community should carry more weight in the Nominating Committee in order to add a technical component to the diversity matrix.

16.5.3. Analysis

Individual responses are essentially split on this question with 54% yes to 46% no producing a net 8% yes which is extremely weak. Structures at 61% no vs. 39% yes producing a net of 22% no which is a weak result.

16.5.4. Conclusion

Individual responses are split, and Structures generate a net of 22% no which should not be ignored. However, this contrasts with the satisfaction rate with the NomCom from the previous question which has individuals net at 45% Satisfies or very satisfied which is very good and Structures at 57% which is very strong.

Considering the fact that the NomCom is in the process of implementing the recommendations which are the result of its review and the contrast in responses between this question and the previous one ATRT3 will not be making a Recommendation or suggestion regarding this issue.

16.6. Please indicate your satisfaction with the accountability of the Board under the new accountability mechanisms such as the Empowered Community.

16.6.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Very satisfied	5	9%	0	0%
Satisfied	21	38%	5	36%
No opinion	13	24%	6	43%
Somewhat dissatisfied	11	20%	3	21%
Very dissatisfied	5	9%	0	0%

16.6.2. Comments

- AT-LARGE - Again, a mixed bag. At-Large views ranged from satisfied to somewhat dissatisfied. On the one hand, the Board attempts to react quickly to community disapproval but doesn't behave like an accountable body at the outset. The true mechanisms available to the Empowered Community have not yet been brought to bear so it is difficult to measure their effectiveness in holding the Board accountable.
- – EURALO – somewhat dissatisfied - On the one hand, the Board attempts to react quickly to community disapproval but doesn't behave like an accountable body at the outset. It remains to be seen whether the Board will bow to vested interests within the ICANN community or still be able to make decisions in the public interest.
- GNSO – IPC - It is difficult to assess the accountability of the Board under the new accountability mechanisms as a situation has not yet arisen where they have been tested.
- GNSO – RrSG - This question seems premature because not all the new accountability mechanisms have been implemented. In other words, they have not been tested or used. For example, the Independent Review Process Implementation Oversight Team and the GNSO Drafting Team to Further Develop Guidelines and Principles for the GNSO's Roles and Obligations as a Decisional Participant in the Empowered Community are still ongoing three years after the completion of the IANA stewardship transition.

16.6.3. Analysis

Individual responses of 47% satisfied or very satisfied vs. 29% that are somewhat dissatisfied or very dissatisfied produces a net of 18% that are satisfied or very satisfied which is a very weak show of support.

Structure responses of 36% satisfied or very satisfied vs. 21% that are somewhat dissatisfied or very dissatisfied produces a net of 15% that are satisfied or very satisfied is also a very weak show of support.

It seems that, as the comments indicate, several respondents were trying to respond based on the use of the EC’s powers, some of which have not been used.

16.6.4. Conclusion

ATRT3 will not be making any recommendations or suggestions with respect to this question.

16.7. Rate the mechanisms ensuring the Board’s transparency

16.7.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Very effective	5	9%	0	0%
Effective	20	34%	8	57%
No opinion	12	20%	4	29%
Somewhat ineffective	12	20%	2	14%
Ineffective	10	17%	0	0%

Do you think the mechanisms ensuring Board transparency need to be improved? (Question to individual respondents only)

Response	Individual #	Individual %
Yes	42	80%
No	11	20%

16.7.2. Comments

- GNSO – IPC - We note that the Board needs to balance the need to have full and frank discussions while also providing rationales for their decisions. While there have been improvements in Board transparency over the years, there are still issues with the late publication of Board and Board committee agendas. Minutes of the Board and Board Committee meetings are also often published weeks after the meeting was held. Board correspondence is

published on an apparently ad hoc basis on the Correspondence page, with some letters being posted within days, while other letters may not be posted for weeks.

- GNSO – RySG – somewhat ineffective - The RySG suggests that the schedule of Board meetings should be posted in advance and that agendas for those meetings should be published as far ahead of the meetings as possible. At the very least, publishing the agendas ahead of the meetings should be standard operating procedure. Knowing what the Board will be discussing and when would be very useful to the community and would significantly enhance the overall transparency of the Board’s deliberations.

We also suggest that ICANN org work on improving the website where Board information is posted to make it easier to find content about Board discussions and resolutions.

16.7.3. Analysis

Individual responses of 43% satisfied or very satisfied vs. 37% somewhat dissatisfied or very dissatisfied produces a net of 6% satisfied or very satisfied which is extremely weak.

Structure responses of 57% satisfied or very satisfied vs. 14% somewhat dissatisfied or very dissatisfied producing a net of 43% satisfied or very satisfied which shows very good support.

However, the individual question “Do you think the mechanisms ensuring Board transparency need to be improved?” which had responses of 80% requiring improvements to Board transparency when coupled with the comments from the IPC and RySG are significant.

16.7.4. Conclusion

This, at least in part, is related to ATRT2 recommendation 2 which recommended “The Board should develop metrics to measure the effectiveness of the Board's functioning and improvement efforts, and publish the materials used for training to gauge levels of improvement.”. This was assessed by ATRT3 as only

partially implemented and impossible to assess the effectiveness given there were no effective metrics provided.

As such ATRT3 will make the same suggestions here as it did in the conclusion of the assessment of ATRT2 recommendation 2:

Given the results of the ATRT3 Surveys on Board performance, transparency and decision taking (see Sections 3.2.2.1, 3.2.2.7 and 3.2.2.9 of this report) show limited satisfaction this should encourage the Board to consider the following specific suggestions from ATRT3:

- The Board should establish the same targets it uses for publishing agendas and minutes of Board meetings to the agendas and minutes of all its official committees and publish these in the Accountability Indicators.
- The Board should show the date of publication of materials on the Board website instead of only in the materials themselves.
- All of these relevant indicators of Board performance should be grouped in a single area of the Accountability Indicators.
- Board minutes should indicate how members have voted including in Executive Sessions.
- Board minutes should include, in addition to the rationale, summaries of the main discussion points covered prior to taking votes.

16.8. How would you rate the importance of the Board implementing the Transparency Recommendations from the CCWG-Accountability WS2?

16.8.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Very important	31	58%	10	71%
Somewhat important	13	25%	2	14%
No opinion	6	11%	2	14%
Somewhat not important	2	4%	0	0%
Not important	1	2%	0	0%

16.8.2. Comments (none)

16.8.3. Analysis

Individual responses of 83% important or very important vs. 6% somewhat not important or Not important produces a net of 77% important or very important which is extremely strong.

Structure responses of 85% important or very important vs. 0% somewhat not important or Not important produces a net of 85% important or very important which is extremely strong.

16.8.4. Conclusion

Given the CCWG-Accountability WS2 recommendations have now been approved by the Board for implementation (which was not the case when this survey question was posed) this now goes to the issue of prioritization which will be addressed in Section 12 of this report.

16.9. Are you satisfied with the Board’s decision-taking process?

16.9.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Yes	29	56%	7	58%
No	23	44%	5	42%

16.9.2. Comments

- AT-LARGE - Any expression of satisfaction in the Board’s decision-taking process is dependent on an ability to hold the Board accountable for its decisions. While a level of transparency is present in the Board’s decision-taking process - i.e. by way of public forums, open meetings, publication of minutes and resolutions as well as access to the records of its various committees - it is important not to conflate transparency with accountability. While transparency is necessary for accountability in many instances, it is certainly not sufficient.
- AT-LARGE – EURALO – No - The Board’s transparency has improved over time. Its accountability gained through explaining the rationale for decisions and providing verifiable feedback on Stakeholder input still requires improvement.

- GAC – Yes - GAC Answer – There is always room for improvements to decision taking. As a result of implementing certain ATRT2 recommendations, communication and coordination between the Board and the GAC has improved over the last few years as expectations have been established and met for timely Board review and considerations of GAC consensus advice. In certain instances where consideration of GAC advice has been deferred, there is communication explaining why that transpires.

Separately, the ICANN org staff has established an inventory of GAC advice to assist interested parties in researching and understanding how past advice has been considered and processed.

- GNSO – BC – No - ICANN’s oversight of the Internet’s unique identifiers involves decisions that affect business users and registrants. However, the BC believes that Board should be more explicit in acknowledging when there are conflicting priorities of businesses versus contract parties. And we believe that the board’s recent decisions with respect to GDPR shows that risks and concerns of contract parties are given greater weight than concerns and risks of business users and registrants.
- GNSO -RrSG - The RrSG believes the Board should place more trust in the bottom-up policy development process and avoid a repeat of the way in which it handled the protracted IGO protections issues. For example, Table 2, Inventory of GAC Advice in a recent letter from the Board to the GAC shows there are still 11 open items related to IGO protections:
<https://www.icann.org/en/system/files/correspondence/botterman-to-ismail-10sep19-en.pdf>.
- GNSO – RySG – No - The process by which the Board reaches decisions is very difficult for the community to follow in many cases. While the addition of the rationale to every published Board resolution has been a substantial improvement, it is still often hard to determine the process that went into reaching those decisions in the first place. We aren’t even sure if all Board decisions are unanimous (minus abstentions). One suggestion is for ICANN to publish how individual Board members vote on specific issues, another might be to publish summaries of the main discussion

points covered prior to taking votes. We also suggest that making Board governance documents more accessible on the ICANN website could help community members better understand the Board's decision-making process.

16.9.3. Analysis

Individual responses of 56% yes vs. 44% no produces a net of 12% yes, which is very weak.

Structure responses of 58% yes vs. 42% no produces a net of 16% yes, which is also very weak.

16.9.4. Conclusion

This, at least in part, is related to ATRT2 recommendation 2 which recommended "The Board should develop metrics to measure the effectiveness of the Board's functioning and improvement efforts, and publish the materials used for training to gauge levels of improvement." This was assessed by ATRT3 as only partially implemented and impossible to assess the effectiveness given there were no effective metrics provided.

As such ATRT3 will make the same suggestions here as it did in the conclusion of the assessment of ATRT2 recommendation 2:

Given the results of the ATRT3 Surveys on Board performance, transparency and decision taking (see Sections 3.2.2.1, 3.2.2.7 and 3.2.2.9 of this report) show limited satisfaction this should encourage the Board to consider the following specific suggestions from ATRT3:

- The Board should establish the same targets it uses for publishing agendas and minutes of Board meetings to the agendas and minutes of all its official committees and publish these in the Accountability Indicators.
- The Board should show the date of publication of materials on the Board website instead of only in the materials themselves.
- All of these relevant indicators of Board performance should be grouped in a single area of the Accountability Indicators.
- Board minutes should indicate how members have voted including in Executive Sessions.

- Board minutes should include, in addition to the rationale, summaries of the main discussion points covered prior to taking votes.

16.10. Are you aware of the training program for the Board members?

16.10.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Yes	21	38%	11	73%
No	34	62%	4	27%

16.10.2. Comments

- GAC – Yes - The GAC Chair now participates in the Board member on-boarding process to help new Board members understand the role and importance of active government participation in ICANN processes.

16.10.3. Analysis

What is important to note is the inversion of responses between individuals (38% yes vs. 62% No) and Structures (73% yes vs. 27% No)

16.10.4. Conclusion

Obviously is there is an awareness issue with respect to this topic for individuals in the community. ATRT3 will consider suggesting addressing this.

16.11. Are you satisfied with the financial information that is provided to the public by ICANN?

16.11.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Very satisfied	10	17%	0	0%
Satisfied	22	38%	7	54%
No opinion	12	21%	2	15%
Somewhat dissatisfied	12	21%	4	31%
Very dissatisfied	2	3%	0	0%

How would you rate the usability of the financial information overall?

Response	Individual #	Individual %	Structure #	Structure %
Very useful	12	21%	2	15%
Somewhat useful	23	40%	5	38%
No opinion	16	28%	2	15%
Somewhat not useful	6	10%	4	31%
Not useful	1	1%	0	0%

16.11.2. Comments

- AT-LARGE - The office of the CFO provides a great deal of information and has begun an excellent process to involve the community in the budget. At the same time, HOW decisions are made is not always obvious and ideally financial information presented to various SO/ACs should be tailored to that Structure/group rather than in the form of general overview. Get to brass tacks. And it would be an achievement if ICANN's financial data could be included in the ITI / ODI framework
- AT-LARGE – EURALO – somewhat dissatisfied - The office of the CFO provides a great deal of information and has an excellent ongoing process to involve the community in the budget. ICANN has really improved this process over the years. At the same time, how decisions are made and who makes them is seldom obvious and ideally financial information presented to various SO/ACs should be tailored to that Structure/group rather than in the form of general overview.
- GNSO – RrSG – somewhat dissatisfied - Comments from the RrSG on financial information provided by ICANN typically include requests for greater context and/or justification for how the finances are calculated. The RrSG would appreciate greater detail and transparency from ICANN in their budgets.
- SSAC - As a SO/AC the SSAC does not have a clear picture of our impact on the budget or how to steward our portion of the budget towards ICANN's greater goals. That information is purposefully kept away from the SO/ACs. In addition, SO/ACs cannot cross compare their budgets to other SO/ACs.

16.11.3. Analysis

Individual responses to the first question of 55% satisfied or very satisfied vs. 24% somewhat dissatisfied or very dissatisfied produces a net of 31% satisfied or very satisfied which shows good support.

Structure responses to the first question of 54% satisfied or very satisfied vs. 31% somewhat dissatisfied or very dissatisfied producing a net of 23% satisfied or very satisfied which shows weak support.

Individual responses to the second question of 61% somewhat Useful or very Useful vs. 11% somewhat Not Useful or Not Useful produces a net of 50% somewhat Useful or very Useful which shows very good support.

Structure responses to the second question of 53 somewhat Useful or very Useful vs. 31% somewhat Not Useful or Not Useful producing a net of 22% somewhat Useful or very Useful which shows weak support.

16.11.4. Conclusion

The Structures responses of 31% of somewhat dissatisfied or very dissatisfied is concerning.

ATRT2 Recommendations 12.1 and 12.4 are directly related to this topic. The effectiveness assessments for both of these recommendations noted that, "Providing information which the average member of the community could understand easily and comment on effectively with only the requirement of investing a few hours would go a long way to increasing the Transparency and Accountability of the process."

Additionally, the CCWG-Accountability WS2 made some recommendations which are related to this in its Transparency section and comments provided by the respondents to this survey question include some good suggestions.

As such ATRT3 will make a suggestion with respect to the issues raised by the responses to this question.

16.12. Have you ever filed a Documentary Information Disclosure Policy (DIDP) request with ICANN?

16.12.1. Responses

Response	Individual #	Individual %	Structure #	Structure %	Consolidated %
Yes	0	0%	0	0%	0%
No	52	100%	15	100%	100%

16.12.2. Comments (none)

16.12.3. Analysis (not applicable)

16.12.4. Conclusion

The lack of respondent experience with the DIDP means that the survey is generally not helpful in designing recommendations or suggestions for the DIDP.

16.13. Do you believe the information ICANN makes available on the icann.org website should be better organized to facilitate searching for specific topics?

16.13.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Yes	42	82%	13	100%
No	9	18%	0	0%

Do you believe the information ICANN makes available on the community wiki should be better organized to facilitate searching on the wiki?

Response	Individual #	Individual %	Structure #	Structure %
Yes	44	85%	12	100%
No	8	15%	0	0%

16.13.2. Comments (none)

16.13.3. Analysis (none required)

16.13.4. Conclusion

ATRT3 notes that the [Information Transparency Initiative \(ITI\) Update](#) that it was provided presents a good summary of activities to date and notes that: “Soft launch of the new site expected in FY20 Q4 with the full site available by FY21 Q1. More details are available here: <https://www.icann.org/news/blog/keeping-you-informed-an-update-on-the-information-transparency-initiative>”.

Given the launch of the new system is due at about the same date the ATRT3 final report is due, ATRT3 will not be able to comment on the effectiveness of this initiative. As such, ATRT3 will not be making any recommendations or suggestions on this issue. However, ATRT3 suggests that the next ATRT (or equivalent review) evaluate the results of the implementation of the ITI initiative.

16.14. Are you aware of ICANN’s open data mechanisms, including the Information Transparency Initiative (ITI) or the Open Data Initiative (ODI), or about ICANN’s transparency policies more generally?

16.14.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Yes	33	63%	11	73%
No	19	37%	4	27%

16.14.2. Comments

- GAC – Yes - The GAC has been previously briefed about the ITI effort by ICANN org Communications staff – see <https://gac.icann.org/sessions/gac-introductory-webinar-series-information-transparency-initiative-iti>.

Back at ICANN 60, the GAC and AT-LARGE prepared and published a joint statement calling for the ICANN org to do a better job at “enabling inclusive informed and meaningful participation in ICANN. The reply from the Board and ICANN org regarding that statement largely relied on the expected benefits that would flow from the ITI project. A copy of that joint statement can be found here:

<https://gac.icann.org/publications/20171031-joint-statement-gac-At-Large.pdf> - for ATRT3 Review Team reference.

16.14.3. Analysis

Individual responses of 63% yes and Structure responses of 73 % yes indicate a strong awareness.

16.14.4. Conclusion

ATRT3 will not be making recommendations or suggestions with respect to the responses to this question.

Survey questions relating to Section 4 GAC

16.15. Should GAC accountability be improved?

16.15.1. Responses

Response	Structure #	Structure %
Yes	8	73%
No	3	27%

Response	Individual #	Individual %
No significant improvements needed	3	6%
Minor improvement needed	12	23%
No opinion	7	13%
Yes, some improvements needed	17	32%
Yes, significant improvements needed	14	26%

16.15.2. Comments

- AT-LARGE - We understand that the GAC members operate largely on national governments' mandates, which directly

impacts the character for the constituency and the AC. Yet from the end user perspective we would welcome more targeted dialogue on how to best represent individual interest in the ICANN community. Issues such as universal acceptance, security or human rights are at the focus of both ACs, yet their processes and, effectively, accountability mechanisms, are structured differently. We strongly believe that the recent efforts of joint meetings and WGs will naturally allow for more transparency and, effectively, enhance GAC accountability.

- AT-LARGE – AFRALO - Although work is based on consensus, it's important to document the details of the different/conflicting views of the GAC members.
- AT-LARGE – NARALO Chair and Secretariat - Not sure if they have any processes that deal with this issue. If not, they should have.
- GNSO – BC – Yes - The BC recommends that GAC members from EU governments be accountable for decisions taken by their member governments with respect to GDPR and WHOIS.
- GNSO – RySG - The RySG is unsure how to answer this question, as we understand that GAC members are accountable to the governments they represent.

16.15.3. Analysis

Roughly consolidating responses from Structures and individuals gives 69% in favor of improving GAC accountability vs. 24% for not doing so, or minor improvements, giving a net of 45% in favor of improving GAC accountability which is very good.

16.15.4. Conclusion

ATRT3 will make suggestions regarding the issues surrounding liaisons and the clarity of the GAC communique.

16.16. Should GAC transparency be improved?

16.16.1. Responses

Response	Structure #	Structure %
Yes	7	54%
No	6	46%

Response	Individual #	Individual %
No significant improvements needed	4	8%
Minor improvement needed	13	25%
No opinion	6	11%
Yes, some improvements needed	14	26%
Yes, significant improvements needed	16	30%

16.16.2. Comments

- AT-LARGE - While we understand that the GAC members operate largely on national governments' mandates, we would welcome more enhanced dialogue with the highly influential GAC. Providing more information on the background of GAC positions and engaging in dialogue with their constituencies would likely significantly improve the current consensus building mechanisms within the community. We have welcomed the joint At-Large/GAC initiatives of joint working meetings and shared capacity building and look forward to expanding on this recent, highly positive experience. We are convinced enhanced interaction with the other advisory committee that represents a comparably broad yet structurally different scope of individual interests will largely improve the consensus building process within the community. We would welcome efforts from other stakeholder groups to join in this process.
- AT-LARGE – AFRALO - More public debate and decision-making

- GAC – Yes - The GAC has taken voluntary steps to conduct a thorough review of its existing operating principles, forming a standing working group to undertake the task of reviewing the current operating principles and recommending amendments, updates and new principles to enable the GAC to function as a full member of ICANN’s empowered community into the future. The working group, formed at ICANN64 in Barcelona, Spain is first establishing clear documented guidelines and procedures for how the GAC can form and manage working group efforts in topics of interest to governments and intergovernmental organizations. Subsequently, the working group will review and assess all of the 54 GAC Operating Principles to determine process and procedure areas that merit additional clarity or updates.

Notably, since 2015, the GAC has established a broad “open meeting” policy. As a result, all GAC plenary sessions during an ICANN Public Meeting are open to the public and all members of the ICANN community. Recordings and transcripts of those sessions are also made available on the ICANN org Meetings web site.

- GNSO – BC – Yes - The BC recommends that the GAC be explicit and transparent when there are conflicting priorities among GAC member nations, especially regarding freedom of expression and privacy. In particular, the BC suggests that the GAC openly acknowledge its conflicting priorities when advising ICANN about how to adjust WHOIS in reaction to the EU’s GDPR regime.

16.16.3. Analysis

Roughly consolidating responses from Structures and individuals gives 55% for improving GAC accountability vs. 40% for not doing so or minor improvements giving a net of 15% in favor of improvements to accountability which is very weak.

16.16.4. Conclusion

Given the weak support for improvement ATRT3 will not be making a recommendation or suggestion.

16.17. In your view are you satisfied with the interactions the GAC has with the Board?

16.17.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
very satisfied	2	4%	1	7%
satisfied	20	38%	8	57%
No opinion	12	23%	5	36%
somewhat dissatisfied	11	21%	0	0%
Very dissatisfied	8	15%	0	0%

16.17.2. Comments

- GAC – satisfied - As a result of implementing certain ATRT2 recommendations, communication and coordination between the Board and the GAC has improved over the last few years as expectations have been established and met for timely Board review and considerations of GAC consensus advice. In certain instances where consideration of GAC advice has been deferred, there is communication explaining why that transpires.

At the ICANN63 meeting in Barcelona, the GAC and members of the ICANN Board agreed to change the name of the existing BGRI to the new Board-GAC Interaction Group (BGIG) - as evidence of the commitment to continued interaction and active cooperative efforts between the Board and the GAC. The new “BGIG” name reflects a renewed commitment to the collaborative work of the GAC and Board members. It is expected that the BGIG will continue to explore initiatives and opportunities that can improve the GAC's operations and facilitate meaningful interaction with the ICANN Board.

Additionally, GAC members have publicly encouraged the Board (at ICANN65 in Marrakech) to promote more substantive dialogue between the Board and GAC members as a way to try to overcome the somewhat traditional ritualization and formalization of previous interactions. Formality and spontaneity can be complementary and equally productive methods for interaction.

- GNSO – RySG – satisfied - The RySG has been encouraged by the increased visibility into the Board’s interactions with the GAC, particularly via the Communique Scorecard process. We also appreciate having the opportunity to contribute to the GNSO Council’s input on the GAC Communique, which gets shared with the Board prior to the Board responding.

16.17.3. Analysis

Individual responses were 42% satisfied or very satisfied vs. 35% dissatisfied or very dissatisfied giving a net of 7% for being satisfied or very satisfied which is extremely weak.

Structures responses were 64% satisfied or very satisfied vs. 0% dissatisfied or very dissatisfied giving a net of 64% being satisfied or very satisfied which is very strong.

16.17.4. Conclusion

Results would seem to indicate that Structures have been following the recent evolution of the GAC-Board relationship more closely than individual members of the community. There have been significant improvements as presented in the GAC comment which would align with the Structures very strong net of 64% being satisfied or very satisfied. ATRT3 will make a suggestion asking the Board and GAC to better communicate the recent improvements in their relationship.

16.18. In your view are you satisfied with the interactions the GAC has with the SO/ACs?

16.18.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Very satisfied	4	8%	1	7%
Satisfied	19	37%	9	64%
No opinion	9	17%	2	14%
Somewhat dissatisfied	15	29%	1	7%
Very dissatisfied	5	10%	1	7%

16.18.2. Comments

- GAC – satisfied - With the pace of GAC participation changes in recent years, it has been observed that information sharing with various parts of the ICANN community is valuable to help GAC members understand the context of various DNS issues. Occasional dialogue with members of other ICANN communities can enhance communications and information sharing and create connections that can be relied on as new policy and operational topics are introduced and discussed.

The GAC holds regular bilateral meetings with other ICANN advisory committees and supporting organizations (including the At-Large, ccNSO and GNSO) at ICANN public meetings. At recent public meetings, the GAC has interacted with other groups from the gTLD space in a variety of ways including the RSSAC leadership, SSAC members, contracted parties (registries and registrars), business, intellectual property and noncommercial interests.

GAC members observe that the ICANN SOs and ACs must still work together to address the long-standing issue of topic/issue prioritization that continues to challenge the community.

- GNSO – RrSG – somewhat dissatisfied - Typically the GAC has little time to meet with each SO/AC, which the RrSG appreciates is due to the amount of meetings they need to fit into any schedule. With less time, the session tends to be more informational and there is less opportunity for dialogue that leads to action. However, the RrSG would like to recognize the very beneficial and action-oriented meetings that are now regularly held with the PSWG.
- GNSO – RySG – Very dissatisfied - The RySG has few opportunities to interact with the GAC directly, and unfortunately, one of the most notable recent interactions was when the GAC issued sweeping advice on new gTLD applications, particularly on what it called “Category 1” strings. The RySG has attempted to establish better communication with the GAC, including through meetings with the full GAC or the PSWG, but otherwise the interactions are extremely limited.

16.18.3. Analysis

Individual responses were 45% satisfied or very satisfied and 38% dissatisfied or very dissatisfied giving a net of 7% for being satisfied or very satisfied which is extremely weak.

Structures responses were 71% satisfied or very satisfied vs. 14% dissatisfied or very dissatisfied producing a net of 57% being satisfied or very satisfied which is strong.

16.18.4. Conclusion

Overall it would seem that SO/AC interactions with the GAC are rated very positively by the SO/ACs. This being said, the RySG concerns are noted and follow-on suggestions from ATRT3’s assessment of the ATRT2 recommendations relevant to this could help improve the situation.

16.19. Please rate how effective the current system of Public Comment consultations is for gathering community input.

16.19.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Very effective	2	4%	1	8%
Effective	23	46%	8	62%
No opinion	1	2%	0	0%
Somewhat ineffective	16	32%	3	23%
Ineffective	8	16%	1	8%

Do you believe the concept of Public Comment, as currently implemented, should be re-examined?

Response	Individual #	Individual %	Structure #	Structure %
Yes	44	88%	8	57%
No	6	12%	6	43%

16.19.2. Comments

- GAC – While the GAC has no formal opinion regarding this question generally as it pertains to public comments, it is notable that the GAC has made various efforts to provide its inputs and views earlier in the policy development process when there are cross community working groups on certain topics and during those times when a supporting organization process enable GAC participation and contributions (e.g., IGO Curative Rights Protection Mechanisms). This method for input and participation remains a work-in-progress.
- GNSO -RySG – effective - The current system of Public Comments is effective for gathering community input. Information on Public Comments is centralized on the ICANN website and there is a clear process to submit input. However, we note that, on an increasingly regular basis, the Community is invited to provide comments and input outside the Public Comment proceedings. Sometimes these announcements are hidden in blog posts or wiki pages and lack transparency with regard to the publication of received input.

16.19.3. Analysis

Individual responses to the first question were 50% effective or very effective vs. 48% which rate it as somewhat ineffective or ineffective producing a net of 2% effective or very effective which is an extremely low indication of effectiveness.

Structure responses to the first question were 70% effective or very effective vs. 31% somewhat ineffective or ineffective producing a net of 39% effective or very effective which is a good indication of effectiveness.

Individual responses to the second question were 88% in favor of re-examining the concept of Public Comments vs. 12% against producing a net of 76% in favor which shows extremely strong support in favor of re-examining.

Structure responses to the second question were 57% in favor of re-examining the concept of Public Comments vs. 43% against producing a net of 14% in favor which shows very weak support in favor of re-examining.

This dichotomy clearly indicates a gap between individuals and structures when it comes to Public Comment proceedings.

16.19.4. Conclusion

The objective of a Public Comment proceedings is to allow as many members of the community as possible to contribute so the results are an effective representation of the community’s views on the matter published for Public Comment.

These results clearly indicate that there is a portion of the community which has issues with how effective Public Comment proceedings are and that the concept should be reviewed.

ATRT3 accepts that the responses to these questions have flagged some serious issues which it will consider in its recommendation or suggestions on Public Comments.

16.20. Have you (or a group you directly contribute to) responded to a Public Comment consultation in the last year?

16.20.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Yes	40	82%	11	73%
No	9	18%	4	27%

Those that responded yes were also asked how many public consultations they replied to in the last year.

Response	Individual #	Individual %	Structure #	Structure %
1	2	4%	0	0%
2	23	46%	1	10%
5 or more	1	2%	4	40%
10 or more	16	32%	5	50%

Those who replied no were asked what prevented them from doing so:

Response	Individual #	Individual %	Structure #	Structure %	Consolidated %
Did not have the time to produce a detailed response	3	38%	0	0%	9%
Subject was too complex	2	25%	0	0%	6%
Consultation document was too long	2	25%	0	0%	6%
Language issues	0	0%	0	0%	0%
Time to respond was too short	1	13%	0	0%	3%
Other	2	25%	2	100%	81%

16.20.2. Comments

- GAC Answer – “Did not have the time to produce a detailed response” and “Time to Respond was too short”. Not all Public Comment Forums address matter of priority interest to governments. But, among those issues where GAC members may be interested but are not able to file comments as a committee, available time is a substantial issue. Unlike other members of the ICANN community, government representatives often need to share drafts and points of view within their government structure. Typical ICANN comment periods (even 45-days) can often prove too short to enable the GAC to fully develop consensus views among its members. As a result, individual GAC members may have to resort to file their own comments.

For a number of GAC members the length of public comments, the complexity of the topic terminology and the general issues being discussed can also complicate the ability to sufficiently absorb and prepare collective responses in a timely manner - given the comment-time provided. This context is the reason the GAC has commented in other fora regarding the critical need for ICANN to provide sufficient background and summary resources to help GAC and other community participants understand the issues at hand so that they can provide informed feedback and input.

16.20.3. Analysis

82% of Individual respondents have responded to at least one Public Comment in the last year which is impressive but this is only from 40 individuals and may not be representative of the community as a whole.

73% of Structure respondents have responded to 2 or more public consultations. However, one has to consider that in many cases SO/ACs will respond for their constituent bodies which are included in Structures.

16.20.4. Conclusion

It would seem obvious that those individuals who regularly respond to Public Comments would also respond to this survey and as such may not provide a good indication of the true % of individual respondents in the community. The results of the previous question clearly indicate that re-examining the concept of Public Comments to allow greater participation is supported.

16.21. Would your Structure respond more often to Public Comments if the consultation included short and precise questions regarding the subject matter in a Survey Monkey or similar format?

16.21.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Strongly agree	9	18%	1	7%
Agree	32	64%	4	27%
No opinion	4	8%	6	40%
Disagree	3	6%	3	20%
Strongly disagree	2	4%	1	7%

16.21.2. Comments

- GAC – Agree - Specific targeted questions may prove more useful for the more complicated issues that are raised by some ICANN topics. However, one common approach may not fit all topic circumstances.

- GNSO – RySG – Disagree - Precise survey questions do not always make it easy to respond as a group. Closed questionnaires (like this one) are tricky as respondents can interpret questions differently; they also limit the out of the box thinking and bringing in new ideas.
- SSAC - The SSAC would like to note if this was done effectively and was not the only way to respond to Public Comment it would be helpful.

16.21.3. Analysis

The Structure results do not provide any indication either way given they are split 34% Agree or Strongly Agree, 40% no Opinion and 27% Disagree or Strongly Disagree producing a net of 7% in Agree or Strongly Agree which is extremely weak.

The Individual results on the other hand provide a very clear indication with 82% Agree or Strongly Agree vs. 10% Disagree or Strongly Disagree producing a net of 72% Agree or Strongly Agree which is very strong.

16.21.4. Conclusion

ATRT3 accepts that the responses to these questions show very strong support for this option by Individual respondents which it will consider in its recommendations or suggestions on Public Comments.

16.22. Should the responses made to Public Comments by individuals and external organizations/groups be considered equally?

16.22.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Strongly agree	16	32%	2	15%
Agree	18	36%	3	23%
No opinion	3	6%	1	8%
Disagree	11	22%	5	38%
Strongly disagree	2	4%	2	15%

16.22.2. Comments

- GAC Answer – Disagree. While all points of view can have merit in certain circumstances, consensus views on ICANN policy matters that are expressed by governments through the GAC should be accorded substantial weight and it would be inappropriate to weigh them equally with responses by individuals. In many respects, the current ICANN Bylaws recognize this appropriate consideration.
- GNSO – RySG - The RySG is unsure of the exact meaning of questions 33 and 34. Comments submitted by an individual person should have a different weight than a comment developed and supported by an entire stakeholder group. When a stakeholder group or constituency reaches agreement to develop and submit a comment, the recipient of that comment should consider the size of the SG/C and the amount of organizations (or individuals) that the group represents.

16.22.3. Analysis

What is striking about the responses to this question is the mirror duality between individuals and Structures. 68% of individuals Agree or Strongly Agree that all comments should be considered equally vs. 38% of Structures. Inversely 53% of Structures Disagreed or Strongly Disagreed vs. 26% for Individual respondents.

This gives us for individuals a net of 42% Agree or Strongly Agree vs. a net of 15% Disagree or Strongly Disagree for structures which is strong dichotomy between individuals and Structures.

16.22.4. Conclusion

ATRT3 will consider these responses in a holistic fashion when looking into making Recommendations or Suggestions regarding Public Comments.

16.23. Should the responses made to Public Comments by SO/ACs have more weight than other comments?

16.23.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Strongly agree	7	14%	1	7%
Agree	17	34%	8	57%
No opinion	5	10%	2	14%
Disagree	15	30%	3	21%
Strongly disagree	6	12%	0	0%

16.23.2. Comments (none)

16.23.3. Analysis

Individual responses do not provide any significant information with 48% who Strongly Agree or Agree vs. 42% which Disagree or Strongly Disagree for a net of 6% Strongly Agreeing or Agreeing which is extremely weak.

Structures results however, paint quite a different picture with 64% who Agree or Strongly Agree vs. 21% which Disagree or Strongly Disagree producing a net of 43% Agree or Strongly Agree which is a very good result.

16.23.4. Conclusion

Obviously, Structures will be biased when responding to this question which should be considered by ATRT3 in making any Recommendations or Suggestions based on these results.

ATRT3 will consider these responses in a holistic fashion when looking into making Recommendations or Suggestions regarding Public Comments.

16.24. Should the responses made to Public Comments by the Board have more weight than other comments?

16.24.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Strongly agree	4	8%	0	0%
Agree	13	27%	3	20%
No opinion	8	16%	6	40%

Disagree	14	29%	5	33%
Strongly disagree	10	20%	1	7%

16.24.2. Comments

- GAC Answer – No opinion. There have been rare occasions where the Board has needed to comment on certain matters being considered by the ICANN community (e.g., the IANA transition), but those circumstances should be rare. When the Board seeks public comments on certain policy recommendations it should be open to listening to and considering views from the SOs and ACs.

16.24.3. Analysis

Individual responses of 35% who Strongly Agree or Agree vs. 49% which Disagree or Strongly Disagree for a net of 14% Disagree or Strongly Disagree which is very weak.

Structures responses of 20% who Agree or Strongly Agree vs. 40% which Disagree or Strongly Disagree producing a net of 20% Disagree or Strongly Disagree which is also very weak.

16.24.4. Conclusion

ATRT3 will not be making recommendations or suggestions regarding the results of this question given the weak support for any change.

16.25. How useful are staff reports on Public Comments?

16.25.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Very useful	8	16%	3	20%
Somewhat useful	28	56%	11	73%
No opinion	6	12%	1	7%
Somewhat not useful	5	10%	0	0%
Not useful	3	6%	0	0%

16.25.2. Comments

- GAC – Useful - The production of staff summary reports of public comment submissions are an important resource used by some GAC members to help them follow certain ICANN proceedings. They should be continued. There may be areas where those documents could be improved and specific suggestions should be welcomed, including the application of “plain language” standards and the provision of specific textual explanation of concepts rather than simply providing web links to background documents.
- GNSO – RySg – Useful - The staff reports are useful to get an overview of what others sent in, but they remain summaries and often the original thoughts are lost in dilution.

16.25.3. Analysis

Individual responses of 72% who found these very Useful or somewhat Useful vs. 16% which found these somewhat Not Useful or Not Useful for a net of 56% who found these very Useful or somewhat Useful which is a strong result.

Structures responses of 93% who found these very Useful or somewhat Useful vs. 0% which found these somewhat Not Useful or Not Useful for a net of 93% who found these very Useful or somewhat Useful which is near absolute support.

16.25.4. Conclusion

ATRT3 will not be making recommendations or suggestions regarding the results of this question given the strong positive outcome.

16.26. Do you agree that staff reports on Public Comments clearly indicate if suggestions made by the commenters were accepted and how they were accepted?

16.26.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Strongly agree	4	8%	1	7%
Agree	17	35%	4	27%
No opinion	8	16%	2	13%

Disagree	14	29%	6	40%
Strongly disagree	6	12%	2	13%

16.26.2. Comments

- GAC – Disagree – The staff reports on public comments offer a helpful summary of public comments and some information about the next steps in a particular matter, but as they generally are prepared well BEFORE any actual decisions are reached they do not consistently provide reliable information about the treatment or resolution of comments.
- GNSO – RySg – Strongly disagree - The staff reports published at the end of the public comment proceeding are mostly limited to a summary or first analysis of the comments and are published before changes are implemented to the draft report or document that was published for public comment.

We acknowledge that after a WG considers the comments, they do publish a final report where they state how they treated comments. This information is not included in the staff report and not made available on the public comment webpage.

16.26.3. Analysis

Individual results are neutral with 43% Agreeing or Strongly Agreeing vs. 41% Disagreeing or Strongly Disagreeing producing a net of 2% Agreeing or Strongly Agreeing which is extremely weak.

Structure results of 53% who Disagree or Strongly Disagree vs. 34% who Agree or Strongly Agree producing a net of 19% Disagree or Strongly Disagree which is very weak.

16.26.4. Conclusion

ATRT3 will use the comments in a holistic fashion, including the need to have this information published at some point, when considering making recommendations or suggestions with respect to Public Comments

16.27. Do you agree that staff reports on Public Comments clearly indicate if suggestions made by the commenters were rejected and why they were rejected?

16.27.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Strongly agree	2	4%	1	7%
Agree	19	38%	4	27%
No opinion	11	22%	1	7%
Disagree	10	20%	6	40%
Strongly disagree	8	16%	2	13%

16.27.2. Comments

- GAC Answer – Disagree – The staff reports on public comments offer a helpful summary of public comments and some information about the next steps in a particular matter, but as they generally are prepared well BEFORE any actual decisions are reached they do not consistently provide reliable information about the treatment or resolution of comments. GAC members have suggested that an additional staff report be incorporated into the public comment process to provide this follow-up information for community review.
- GNSO – RySg – Strongly disagree - The staff reports published at the end of the public comment proceeding are mostly limited to a summary or first analysis of the comments and are published before changes are implemented to the draft report or document that was published for public comment.

We acknowledge that after a WG considers the comments, they do publish a final report where they state how they treated comments. This information is not included in the staff report and not made available on the public comment webpage.

16.27.3. Analysis

Individual results are neutral with 42% Agreeing or Strongly Agreeing vs. 36% Disagreeing or Strongly Disagreeing for a net of 6% agreeing which is extremely weak.

Structure results of 53% who Disagree or Strongly Disagree vs. 34% who Agree or Strongly Agree producing a net of 19% Disagree or Strongly Disagree which is very weak.

16.27.4. Conclusion

ATRT3 will use the comments in a holistic fashion, including the need to have this information published at some point, when making a suggestion with respect to Public Comments.

16.28. Do you believe the Internet community generally supports the decisions made by the Board?

16.28.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Yes	29	62%	9	82%
No	18	38%	2	18%

16.28.2. Comments (none)

16.28.3. Analysis

Individual responses of 62% yes vs. 38% no producing a net of 24% which is weak but still positive.

Structure responses of 82% yes vs. 18% no producing a net of 64% is very strong.

16.28.4. Conclusion

ATRT3 will not be making recommendations or suggestions with respect to the responses to this question.

16.29. Do you generally support the decisions made by the Board?

16.29.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Yes, strongly support	7	14%	0	0%
Yes, support	24	49%	10	83%
No opinion	7	14%	2	17%
No, do not support	6	12%	0	0%
No, strongly do not support	5	10%	0	0%

16.29.2. Comments (none)

- SSAC - The SSAC would like to note there are a few exceptions to this response.

16.29.3. Analysis

Individual responses of 63% supporting vs. 22% not supporting produces a net of 41% in support which shows very good support.

Structure responses of 83% supporting vs. 0% not supporting produces a net of 83% in support which shows extremely strong support.

16.29.4. Conclusion

ATRT3 will not be making recommendations or suggestions with respect to the responses to this question.

16.30. Have you participated in or contributed to any Policy Development Process?

16.30.1. Responses

Only asked to Individual respondents

Response	Individual #	Individual %
Yes	34	69%

No	15	31%
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Those responding no were asked what prevented them from doing so:

Response	Individual #	Individual %
Time required	7	47%
Scope too large or unclear	6	40%
Level of knowledge required	5	33%
Other	3	20%
Calls at unworkable hours	1	7%
Language issues	1	7%

Those responding yes were asked if they had difficulties

Response	Individual #	Individual %
Time required	28	85%
Level of knowledge required	20	61%
Scope too large or unclear	16	48%
Calls at unworkable hours	11	33%
Language issues	2	6%
Other	2	6%

Those responding yes were also asked to rate their satisfaction with the transparency of process:

Response	Individual #	Individual %
Very satisfied	3	9%
Satisfied	18	53%
No opinion	5	15%
Somewhat dissatisfied	4	12%
Very dissatisfied	4	12%

Those responding yes were also asked to rate the accountability of the process:

Response	Individual #	Individual %
Accountable	6	18%
Somewhat accountable	15	44%
No opinion	7	21%
Somewhat not accountable	4	12%
Not accountable	2	6%

16.30.2. Comments (none)

16.30.3. Analysis

It is interesting that 69% of individual respondents said that had participated in a PDP. One must assume that individuals who participate in PDP's are also more likely to respond to this type of survey vs. those who do not therefore creating a certain amount of bias.

Difficulties encountered by individuals. It is interesting to note that those who participated in a PDP and those who did not both rated the Time Required as the top issue followed by the Level of Knowledge and the Scope being too large.

With regards to the question on rating the transparency of the process 62% were satisfied or very satisfied vs. 24% were somewhat dissatisfied or very dissatisfied producing a net of 38% satisfied or very satisfied which is weak.

With regards to the question on rating the accountability of the process 62% rated it as accountable or somewhat accountable vs. 18% rating it as somewhat Not accountable or Not accountable producing a net of 44% accountable or somewhat accountable which is very good.

16.30.4. Conclusion

Obviously, there are a number of things which continue to be issues for those wishing to participate or participating in PDPs. These include the time required, level of knowledge and issues surrounding the scope of certain PDP's.

ATRT3 will consider these issues, the results of the relevant ATRT2 recommendations as well as the results of survey question on Public Comments in making any recommendations or suggestions with respect to the Policy Development Process.

16.31. Are ICANN’s mechanisms sufficient to generate policies which are acceptable to the global Internet community?

16.31.1. Responses

Response	Individual #	Individual %	Structure #	Structure %	Consolidated %
Yes	25	53%	5	38%	42%
No	22	47%	8	62%	58%

16.31.2. Comments

- AT-LARGE - The global Internet community is by far larger than the usual ICANN suspects. How does ICANN say what is acceptable or not to stakeholders not active within the ICANN ecosystem? Hence, there is always the danger of serving the needs of the squeaky wheels instead of focusing on those not in the building. While ICANN valiantly upholds the Multistakeholder, bottom-up model in developing and implementing policy decisions which are accepted by its community, much could be done to improve the organization’s exploration of the impact of its decisions on the larger global Internet community, especially individual internet users.
- AT-LARGE – EURALO – No - EURALO has concern that appeals from our community for a stable Internet with high consumer trust have fallen on deaf ears, by being overshadowed with the Board’s concern to promote a dynamic, growing DNS industry. The majority of end users are not domain name registrants and the needs of this majority are regularly ignored by the Board - and the community powers reinforce the power that ICANN’s direct communities, most of whom have a stake in domain names either by being in the domain name industry ecosystem or by being a domain name registrant, have over the Board, to the detriment of Internet end

users that use the DNS as part of their Internet use - browsing the Web, sending and receiving emails, etc.

One of the ways to improve the decisions of the policy development is that in policy making, the GNSO and the Board conduct a simple litmus test to their decisions: does the decision affect an end user in a positive or negative way. If both, then which one outweighs the other?

- AT-LARGE – NARALO Chair and Secretariat - The PDP process should be more lean and should take a determined time to be done. WG charters that are tasked to work on the policy development should be precise (more than they are now).
- CCNSO - ICANN’s mechanisms are too heavy and too slow to provide timely response to the issues that the global Internet community is facing.
- GNSO – BC – No - The BC believes that the board gives greater weight to the risks and concerns of contract parties, relative to concerns and risks of business users and registrants.
- GNSO – IPC - As clearly identified in the GNSO Council’s PDP3.0 project launched in 2018, policy development within ICANN suffers from various inefficiencies, including “social loafing”, lack of representativeness, unwillingness to compromise, and lack of accountability. The IPC’s responses to the “Evolving the Multistakeholder Model” (https://www.ipconstituency.org/assets/ipc-position-papers/2019/2019_06June_13%20IPC%20Comment%20re%20Evolving%20MSM.pdf) and PDP3.0 (https://www.ipconstituency.org/assets/ipc-position-papers/2018/2018_08August_16%20IPC%20Comment%20on%20PDP%203%20point%20-%20Final.pdf) address many of these shortcomings and propose solutions for their improvement. The relevance of these earlier efforts makes clear that the ICANN community is not dealing efficiently or holistically with current problems; rationalisation of efforts is needed here!

- GNSO – RrSG – No - The time required to develop and implement policy is often excessive and when there are external deadlines involved (as with the EPDP) it puts enormous pressure on the volunteers involved to dedicate more time than they typically have. A better balance between efficiency and inclusivity needs to be found.
- GNSO – RySG – Yes - We answered ‘yes’ on this question because we consider the PDP process an appropriate mechanism and the Review Teams are on the right track, despite some hiccups.
- SSAC - The SSAC observes the following shortcomings: vested interests, lack of compromise, representation issues, volunteer burnout, unbalanced expertise
- RSSAC – Yes - As a member of the technical community, the RSSAC believes that these mechanisms should improve collaboration with the broader technical community to further establish technical feasibility of policy proposals.

16.31.3. Analysis

Individual responses of 53% yes vs. 47% no produce a net of 6% yes which is extremely weak.

Structure responses of 38% yes vs. 62% no produce a net of 24% no which is weak but important statement from Structures.

16.31.4. Conclusion

Obviously, there is no strong agreement surrounding this point but the ATRT3 will consider the points raised in the comments in making any recommendations with respect to PDPs.

16.32. What role should SO or ACs play in fostering buy-in from their community to ICANN’s policymaking? (Only asked of Structures)

- AT-LARGE - Hopefully a fairly significant role. Ideally, SOs and ACs should all have some mechanism to reach beyond themselves for a

broader consensus whenever possible. This is certainly our goal, albeit a difficult challenge for At-Large.

At present 'formal' buy-in is sought by way of the public comments process. While we believe seeking public comment is a necessary concept in ICANN's policy-making, and calls for public comment which deal with brief, uncomplicated subject matters may not present severe issues, the same cannot be said for the way public comments are sought for multi-year PDPs tackling wide-ranging and complex subject matters. In these cases, by the time such a report is put out or a call for comment is made, even for a 30-day period, it is for all intents and purposes, too late. And increasingly, many of the public comment subjects are complex, and simply communicating their import to relevant communities within 30 days is a challenge, let alone getting meaningful feedback in 30 days. This is a particular challenge for At-Large when we aim to help At-Large members understand and respond to issues within a short timeframe.

Improvements - The At-Large continues to examine several options to improve fostering buy-in from At-Large to ICANN's policy-making.

It has been mentioned on several occasions about the long timeframes that have been required for some of these PDPs which go beyond the timeframe of commitment that many of our members, who are volunteers, can contribute to such efforts. With a handful of exceptions, people cannot readily commit 3-5 years for any given PDP. Further, current mechanisms are too slow for the decision making processes inside ICANN, and in some cases, too complicated and/or onerous, particularly for public comments. Therefore, insofar as complex subjects go, we would support any effort for better scoping of PDP charters in order to generate less complex outputs for public comment. And ideally, socialization of positions and solicitation of feedback should begin long before a public comment process.

Having said that, we accept that it may not be feasible to totally break down complex issues for consideration by multiple PDP or CCWGs, but in such cases, a 30 day comment period is still simply not enough time to foster buy-in. So, in the first instance, the At-Large would consider identifying WGs which require At-Large participation and

having several At-Large members or two on those WG whose role would be to understand the issues well enough to explain them to At-Large as they are being considered and to bring them back to At-Large for discussion - by way of the At-Large CPWG - for consensus building towards positions to be adopted by At-Large.

As part of implementing recommendations in the At-Large Implementation Review Plan, the At-Large has begun working on a number of operational improvements including developing a set of versatile KPIs for assessing community efforts, policy input and effective outreach. This would help to attend to the challenge of representative community feedback.

- AT-LARGE – AFRALO - Cross community policy development is a critical element for a wider community buy-in to any proposed policy

Improvement - Advice our members/ALS contribute to the policy development process

- AT-LARGE – EURALO – EURALO discusses the public consultations as well as work taking place in PDPs both on its mailing list and during its monthly calls. Its members also participate in the At-Large’s consolidated policy working group, their primary source for quality updates. SOs and ACs should continue to reach out to their members for input into these fundamental processes.

Improvements - Current mechanisms are too slow for the decision making processes inside ICANN, and in some cases, too complicated and/or onerous, particularly for public comments. Yes, once the public consultation is underway, there is a very limited time to talk to members, listen, and then formulate a response. Ideally, socialization of positions and solicitation of feedback should begin long before a public comment process. A lot more needs to be made to explain the issues and their direct impact on end users.

- AT-LARGE – NARALO Chair and Secretariat - Include/Invite all SO/AC members to be part of any PDP WG BY directly requesting the inclusion to the corresponding SO in charge of the PDP.
- CCNSO – Information sharing, participation in the work of ICANN.

Improvement - By setting clearer priorities and not wasting valuable resources on things that are not considered important by the ccTLD community.

- GAC - GAC Answer – The general demographic of government participation in matters relevant to ICANN 's responsibilities necessitates constant communication, education and information sharing about the functions of the Domain Name System (DNS) and ICANN's role and responsibilities in the operations and management of the DNS space. Informed government understanding of ICANN's role for both GAC participants and their government colleagues is an important component of the GAC role in ICANN. The GAC currently works on this responsibility by partnering with the ICANN Government Engagement (GE) team on planning and conducting capacity building workshops both regionally around the world and in conjunction with ICANN public meetings. Every couple of years, the GAC-GE partnership on organizing a High Level Governmental Meeting of government leaders helps to promote this effort as well.

How to improve - With appropriate consistent dedicated resources from the ICANN org, the GAC and GE would be able to conduct more workshops and reach larger audiences.

- GNSO – BC - SOs and ACs are, by definition, representative of the stakeholders they were designed to serve. Buy-in is therefore inherent in the SO/AC work, provided that the SO/AC adhered to best practices in being representative and accountable to their stakeholders.

However, an SO such as the GNSO has inherent tension between contract parties and non-contract parties in the GNSO. It is therefore very challenging for GNSO to say that it has achieved buy-in when its recommendations were not the result of GNSO consensus.

- GNSO – IPC - We must be more specific than simply referring to "ICANN's policy-making". The Bylaws ascribe uniquely to the GNSO the role of policy-making in respect of gTLDs, and similarly the ccNSO for ccTLDs. These two SOs have a clear role to play in how policy-making occurs, and should consider how to more effectively and

efficiently engage the wider ICANN community. This is a step that happens before other SO/ACs consider whether to “foster[] buy-in from their community” to these processes.

Improvement - See IPC comments on PDP3.0:

https://www.ipconstituency.org/assets/ipc-position-papers/2018/2018_08August_16%20IPC%20Comment%20on%20PDP%203%20point%200%20-%20Final.pdf.

- SSAC - SOs and ACs should either provide input during the policy development process or provide comment on specific policy proposals.
- RSSAC - The RSSAC is involved in PDPs when sought for input. To the extent possible, RSSAC also tracks the recommendations of PDPs for potential impact to the Root Server Operator community.

Improvements - The RSSAC welcomes opportunities to provide technical education and information to inform PDPs. If necessary, RSSAC provides direct contributions via Public Comment or may consider active participation in a PDP depending on its scope and potential impact on the Root Server Operator community.

16.33. How would you rate the effectiveness of the Specific Reviews (ATRT, SSR, RDS, etc.) as they are currently structured in the ICANN Bylaws?

16.33.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Very effective	0	0%	1	8%
Effective	24	49%	1	8%
No opinion	14	29%	3	23%
Somewhat ineffective	8	16%	7	54%
Ineffective	3	6%	1	8%

Respondents were also asked if Specific Reviews (ATRT, SSR, RDS, etc.) be reconsidered or amended:

Response	Individual #	Individual %	Structure #	Structure %
Yes	35	78%	10	91%

No	10	22%	1	9%
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16.33.2. Comments

- AT-LARGE – AFRALO - Follow up is needed to ensure that the recommendations implemented is basically reflects the concerns raised by the community.
- GNSO – BC - When the board develops the Terms of Reference for an Organizational Review, this should be informed by recommendations solicited from the community.
- GNSO – RySg - The CCT Review is missing in this question. We would like to refer to the RySG comments on Specific Reviews submitted in February 2018 and February 2019.
- SSAC - The SSAC would like to note that the current structure of specific reviews is overly burdensome and time-consuming on volunteers and does not deliver the desired outcomes. Please see SSAC2018-18 and SSAC2018-19 for SSAC’s comments on Short- and Long-Term Options to Adjust the Timeline for Specific Reviews
<https://www.icann.org/en/system/files/files/ssac2018-18-24jul18-en.pdf>
<https://www.icann.org/en/system/files/files/ssac2018-19-24jul18-en.pdf>).

16.33.3. Analysis

Individual responses rating the effectiveness are 49% effective or very effective vs. 22% somewhat ineffective or ineffective producing a net of 27% effective or very effective which is weak.

Structure responses rating the effectiveness are 16% effective or very effective vs. 62% somewhat ineffective or ineffective producing a net of 46% somewhat ineffective or ineffective which is the opposite of the individual results and a clear indication that there is an issue.

The companion question that asked, “Should Specific Reviews (ATRT, SSR, RDS, etc.) be reconsidered or amended?” produced some very

strong results: Individual responses of 78% yes vs. 22% no producing a net of 56% which is a strong result for reconsideration or amendment while Structure responses of 91% yes vs. 9% no produced a net of 82% which is extremely strong.

16.33.4. Conclusion

Individuals and Structures disagree on the effectiveness of the Specific Reviews, but it is important to note that 62% of Structures responded that these Reviews were somewhat ineffective or ineffective. This being said both strongly agree that these Reviews should be reconsidered or amended.

ATRT3 will be making recommendations or suggestions regarding Specific Reviews.

16.34. How would you rate the effectiveness of Organizational Reviews, those reviewing SO/ACs as they are currently structured in the ICANN Bylaws?

16.34.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Very effective	0	0%	0	0%
Effective	20	41%	6	46%
No opinion	8	16%	2	15%
Somewhat ineffective	15	31%	5	38%
Ineffective	6	12%	0	0%

Respondents were also asked if Organizational Reviews be reconsidered or amended:

Response	Individual #	Individual %	Structure #	Structure %
Yes	39	85%	10	83%
No	7	15%	2	17%

Respondents were also asked if Organizational Reviews continue to be undertaken by external consultants:

Response	Individual #	Individual %	Structure #	Structure %
Yes	31	79%	9	90%

No	8	21%	1	10%
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16.34.2. Comments (none)

- SSAC - The SSAC would like to note that while it believes that external consultants should continue conducting organizational reviews, the quality of the reviews is highly dependent on the quality of reviewers and the care in selecting external reviewers. The SSAC suggests that all SO/ACs work closely with ICANN org and the Board to align on the scope and content of review prior to hiring external consultants in order to ensure high quality reviews.

16.34.3. Analysis

Individual responses rating the effectiveness are 41% effective or very effective vs. 43% somewhat ineffective or ineffective producing a net of 2% somewhat ineffective or ineffective which is essentially a tie.

Structure responses rating the effectiveness are 46% effective or very effective vs. 38% somewhat ineffective or ineffective producing a net of 8% effective or very effective which is also essentially a tie.

The companion question asking, “Should Organizational Reviews be reconsidered or amended?” produced some very strong results with Individual responses of 85% yes vs. 15% no producing a net of 70% yes which is a very strong result for reconsideration or amendment. Structure responses of 83% yes vs. 17% no produced a net of 66% yes, which is also very strong.

The final question, “Should Organizational Reviews continue to be undertaken by external consultants?”, also produced some very strong results with Individual responses of 79% yes vs. 21% no producing a net of 58% yes, which is a very strong result for continuing with external consultants. Structure responses of 90% yes vs. 10% no produced a net of 80% yes which is extremely strong.

16.34.4. Conclusion

In both cases individuals and Structures cannot agree if Organizational Reviews are effective or not but it is important to note that 38% of Structures responded

that these Reviews were somewhat ineffective or ineffective. This being said, both strongly agree that these Reviews should be reconsidered or amended.

ATRT3 will make a recommendation or Suggestion regarding Specific Reviews.

16.35. Has your Structure looked at the ICANN Accountability Indicators? (Only asked on the Structures survey).

16.35.1. Responses

Response	Structure #	Structure %
Yes	6	46%
No	7	54%

16.35.2. Comments (none)

16.35.3. Analysis (none required)

16.35.4. Conclusion

Obviously, there is a communication gap if 54% of Structures are unaware of the existence of Accountability Indicators.

ATRT3 will make a suggestion that the Accountability Indicators should be the subject of a communications effort by ICANN.

16.36. Please rate the effectiveness of the Accountability Indicators as they relate to Board performance as found in <https://www.icann.org/accountability-indicators> 3.3.

16.36.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Very effective	1	2%	0	0%
Effective	22	40%	2	33%
No opinion	18	33%	0	0%
Somewhat ineffective	7	13%	4	67%
Ineffective	7	13%	0	0%

16.36.2. Comments (none)

16.36.3. Analysis

Individual responses were 42% effective or very effective vs. 26% somewhat ineffective or ineffective producing a net of 16% effective of very effective which is very weak.

Structure responses were 33% effective of very effective vs. 67% somewhat ineffective or ineffective producing a net of 34% somewhat ineffective or ineffective which is weak but a clear indication of an issue.

16.36.4. Conclusion

The 67% of Structures which find the Accountability Indicators somewhat ineffective is of concern which is strongly echoed by the assessment of these by the ATRT3.

ATRT3 will make suggestions regarding the Accountability Indicators based on the responses to these questions and its assessment of these.

16.37. Should the ATRT3 make recommendations about prioritization and rationalization of ICANN activities?

16.37.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Yes	35	73%	12	92%
No	13	27%	1	8%

16.37.2. Comments

- GNSO – IPC - The prioritization and rationalization of ICANN activities is the responsibility of ICANN org working in cooperation with the representative leaders of the SO/ACs. The role of the ICANN Board is to act as a check and balance on the Organization’s activities. SO and ACs have specific remits, and their outputs should inform the prioritization and rationalization of ICANN activities as is set out under the Bylaws.

- GNSO – RrSG - The RrSG believes this should primarily be the responsibility of the ICANN Board, who in turn should liaise with the GNSO Council with regard policy related work.
- SSAC - The SSAC would like to clarify that the ATRT3 should make basic, high-level recommendations. The SSAC believes the Board is responsible for synthesizing all of the recommendations and making prioritization recommendations to the community for community input before proceeding with instructing the org to implement recommendations.
- RSSAC – Yes - ATRT3 could propose indication of prioritization and rationalization of ICANN activities for the consideration of the ICANN Board. Then the ICANN Board in consultation with the ICANN community should consider the allocation of support and resources from ICANN org.

16.37.3. Analysis

Individual responses of 73% yes vs. 27% no produce a net of 46% yes which is a very good result.

Structure responses of 92% yes vs. 8% no produce a net of 84% yes which is extremely strong.

16.37.4. Conclusion

ATRT3 will make recommendations about the implementation of a process for the prioritization and rationalization of ICANN activities.

Note: Given that at the time of the survey the community was involved in a number of discussions on this topic, it was clear that the question was asking about ATRT3 considering recommending a process for prioritization.

16.38. Should such recommendations include a process to retire recommendations as it becomes apparent that the community will never get to them or they have been overtaken by other events?

16.38.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Yes	29	85%	12	100%
No	5	15%	0	0%

16.38.2. Comments (none)

16.38.3. Analysis

Individual responses of 85% yes vs. 15% no produce a net of 70% yes, which is a very strong result.

Structure responses were 100% yes which is absolute.

16.38.4. Conclusion

ATRT3 will make recommendations which include a process to retire recommendations as it becomes apparent that the community will never get to them or they have been overtaken by other events.

16.39. Should such recommendations aim to provide a general approach for prioritizing and rationalizing work for ICANN?

16.39.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Yes	32	91%	11	91%
No	3	9%	1	9%

16.39.2. Comments (none)

16.39.3. Analysis

Individual responses of 91% yes vs. 9% no produce a net of 82% yes which is an extremely strong result.

Structure responses of 91% yes vs. 9% no produce a net of 82% yes which is also an extremely strong result.

16.39.4. Conclusion

ATRT3 will make a recommendation to provide a general approach for prioritizing and rationalizing work for ICANN.

16.40. Should the mechanism for making recommendations on prioritization and rationalization only apply to PDPs, reviews and their recommendations, or include other operational aspects in ICANN?

16.40.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
PDPs and Reviews	19	54%	5	45%
Include other operational aspects	16	46%	6	55%

16.40.2. Comments

- RSSAC - Include other operational aspects - Prioritizing the technically feasibility of projects
- Individual – how transparency is handled across ICANN's activities
- Individual – ICANN org implementation of recommendations
- Individual – Finance
- Individual – Regional public forums as were held in the run up to the 2011 gTLD round
- Individual – staffing, budgetary
- Individual – outreach, operational readiness
- Individual – CCWG and other work undertaken by more than one SO or AC
- Individual – Meeting strategy including regional/specialist meetings
- Individual – bringing ICANN meetings to the essence

16.40.3. Analysis

Individual responses of 54% yes vs. 46% no produce a net of 8% yes which is an extremely weak result.

Structure responses of 45% yes vs. 55% no produce a net 10% no which is also extremely weak.

16.40.4. Conclusion

There is no clear consensus for either choice. This will be considered when ATRT3 is developing recommendations as indicated by the responses to the other survey questions in this section.

16.41. Should the community or representative(s) of the community be involved as a decisional participant in any mechanism which makes recommendations for prioritizing and rationalizing work for ICANN?

16.41.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Yes	34	97%	11	100%
No	1	3%	0	0%

16.41.2. Comments

- GAC – Yes. The ICANN community leadership (made up of the chairs of the current ICANN Supporting Organizations and Advisory Committees) regularly interacts among its members and with ICANN executives, so there is already an informal exchange of those ideas. Further linkages in this area of community prioritization may take place in the context of the ongoing proceeding entitled Next Steps to Improve the Effectiveness of ICANN’s Multistakeholder Model (see <https://www.icann.org/public-comments/multistakeholder-model-next-steps-2019-08-27-en>) and that is the appropriate forum for those discussions.

16.41.3. Analysis

Individual responses of 97% yes vs. 3% no produce a net of 94% yes which is almost absolute.

Structure responses were 100% yes which is absolute.

16.41.4. Conclusion

ATRT3 recommendations on prioritizing and rationalizing work for ICANN should include the community or representative(s) of the community as decisional participants.

16.42. Do you think the Empowered Community would be a good mechanism for making recommendations on prioritizing and rationalizing if its role was amended to allow this?

16.42.1. Responses

Response	Individual #	Individual %	Structure #	Structure %
Yes	26	76%	8	73%
No	8	24%	3	27%

16.42.2. Comments

- Individuals – General comments
 - too many particular and hidden interests of participants
 - Empowered Community has a very specific role that should not be expanded
 - The group is small
 - The empowered community is currently (still) dominated by Contracted parties and the IPR lobby. Repeatedly denying ICANN's responsibility for the public interest and the conditions of competition.
 - I don't think the EC has emerged as a visible and effective entity.
 - Not with the current Bylaws; possibly with proper mandate,
 - The EC as it is currently composed was selected to a more general purpose.

- Individuals who responded No.
 - Boards
 - No. Not until the empowered community is radically rebalanced.
 - Possibly
 - Yes, possible.
 - A "body" similar to the EC but separately selected

- AT-LARGE – No - We answered no to provide opposing perspectives which makes certain respective assumptions.

On the one hand, if the Empowered Community was to be the only option available then the Empowered Community would be a good mechanism and assuming that the Bylaws are amended to allow this. Because the only alternative is a CCWG which we do not believe would be an effective mechanism for this important task.

On the other hand, if another body of authority similar to the Empowered Community could be constituted, then the Empowered Community should conceivably remain strictly as a grievance-raising mechanism per the Bylaws, separated from another mechanism designed to make recommendations on prioritizing and rationalizing work.

- CCNSO - Only 5 of ICANN's SO/ACs are DPs. The remaining ACs should be part of the process too.
- GAC – No. The Empowered Community should only be used as defined in the ICANN Articles of Incorporation and Bylaws.
- GNSO – RrSG - GNSO Council with regard to policy related work.
- SSAC - The Empowered Community only includes part of the community, the ability to provide feedback on prioritization and rationalization of activities should be offered to the entire ICANN community (specifically including the SSAC and RSSAC). For instance, an improved public comment process could be a useful mechanism for inclusive consultation to solicit a broader opinion base.

The SSAC is concerned there is a gap in the community's general ability to prioritize Security, Stability, and Resiliency (SSR) related recommendations because the entire community is not aligned on common goals. The SSAC would like to note it sees indications the Board is recently prioritizing SSR issues.

16.42.3. Analysis

Individual responses of 76% yes vs. 24% no produce a net of 52% yes which is a very strong result.

Structure responses of 73% yes vs. 27% no produce a net of 46% yes which is a strong result.

Overall very strong support for using the Empowered Community as a mechanism for making recommendations on prioritizing and rationalizing if its role was amended to allow this.

16.42.4. Conclusion

In any recommendations on this issue, ATRT3 should include using the Empowered Community (or a similar body which includes all SO/ACs) as a mechanism for making recommendations on prioritizing and rationalizing, and considerations on amending its role to allow it to do this.

ANNEX C: GAC Input from ICANN65

During ICANN65 we had the opportunity to address the following questions to the GAC directly in two opportunities: with the whole GAC and with the GAC Chair and vice Chairs

We make same questions from 1) to 4) to ACs and SOs.

1) Where and how do you believe GAC accountability and/or transparency can have opportunities for improvement?

2) "Regarding recommendations from ATRT2 - GAC Operations & Interactions - Recommendation 6, implementation and which point do you believe requests more work?"

3) GAC Operating Principles "Is there any point inside GAC Operating Principles that you believe deserves an improvement, regarding Accountability and Transparency?"

4) Is GAC satisfied with the interactions with the BOARD? with other communities? what kind of improvements would GAC like to see implemented?"

5) Information and consideration from GAC on these two cases: Amazon and 2-Character country code domain names

6) It is recommended to use further implemented action as a Key Performance Indicator to evaluate GAC Interactions with the Board and other Communities. What is the GAC's perspective on this?"

From the interview, we took notes (in this annex C)

After the meeting, the GAC sub working party debated all noted issues from members and had the final agreement as follow:

Transparency ITEMS	Accountability on the process items
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<ul style="list-style-type: none"> ● Communique language (second level of transparency) ● % clarification on the consensus that shall be better defined. ● GNSO X GAC - process – could start using the example of GAC X Board Process ● Need to adjust the process to fit into GNSO. ● Link of the process with Board.https://www.icann.org/en/system/files/files/gac-advice-process-flowchart-31aug17-en.pdf 	<ul style="list-style-type: none"> ● Close the loop - ● Credentials as diplomatic
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GENERAL ISSUES:

- Capacity building about business model of Domain Industry.
- Talk with our own representative on GAC to get more feedback.
- Not consensus advice – stroll men poll indication to sense of direction GAC is taking related to any policy issues.
- Community: Keeping close relationship between Community members and GAC’s member for the same country. Agree on community group issue.
- Important to reassure that no country can represent another, in GAC or any other organization.