BACKGROUND INFORMATION FOR ccNSO SELF-ASSESSMENT[1]

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Self-assessment is considered a best practice and is voluntary. As resolved by the ICANN Board on 23 September 2017, "the ccNSO is encouraged to conduct a self-review prior to the start of the second ccNSO Review in August 2018."

The purpose of this document is to provide background information that may be helpful to the ccNSO in planning whether and how to conduct a self-assessment in preparation for the upcoming independent review of the ccNSO. The self-assessment outcome may be provided in any format you choose, e.g., a single report authored by the ccNSO as whole, or by the ccNSO review working party; assessments from individual members; or any another format.

Self-assessments are typically performed in preparation for ICANN's organizational reviews. The results can be shared with the independent examiner and the wider ICANN community, or can be only used internally, in whatever form deemed appropriate.

MSSI staff can provide clarification and guidance throughout the self-assessment process.

Things to Consider Before Starting a Self-Assessment

1) What is your organization's primary reason(s) for performing the self-assessment?
2) What, if any, are secondary purposes for performing the self-assessment?
3) Who will participate in the self-assessment (review work party, entire membership), and to what extent will they participate?
4) Will you publish the self-assessment report? If so, how widely? When in the organizational review process will this happen? (Best practice would see the output published prior to the independent examiner beginning its work).
5) Do you intend to share the self-assessment output with the independent examiner? If so, at what stage of the process? (See best practice above).
6) Are adequate resources available to perform the self-assessment (e.g. time, human resources), based on the determined scope to be addressed? If resources are constrained, can focus be given to high-impact, high-value topics?

Self-Assessment Scope

The scope of the self-assessment is not meant to necessarily match the scope of the upcoming ccNSO review. The ccNSO may review as many or as few aspects of the organization as it finds relevant. Below are some areas of review you may choose to include in the self-assessment.

1. **Scope of Forthcoming Review**

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[1] While the content of this document has been adapted to the ccNSO, it is based on MSSI experience and best practices with all organizational reviews. Therefore, some specific considerations or examples may be less applicable, or even not applicable at all, to the ccNSO.

The review scope is published in the Request for Proposals and ultimately becomes a part of the professional services agreement with the retained independent examiner. You may wish to use the scope of the upcoming review, as detailed in the Bylaws, and review the organization based on the three points that the ICANN Bylaws mandate in Article 4.4 to form the core of any organizational review:

> (i) whether that organization, council or committee has a continuing purpose in the ICANN structure
>
> (ii) if so, whether any change in structure or operations is desirable to improve its effectiveness
>
> (iii) whether that organization, council or committee is accountable to its constituencies, stakeholder groups, organizations and other stakeholders.

2. **Assessment of Prior Review**

The Final Report from the ccNSO Review Board Working Group addressed 12 recommendations provided by the independent reviewers. No implementation actions were foreseen for six recommendations. For the remaining six recommendations, the implementation plan described actions foreseen as (listed by Recommendation number):

1. Mechanisms to develop ccNSO statements and Position papers – document current processes.
2. Translation of key documents – Assess need for translations
3. Voluntary Translations – Assess willingness of ccTLD community to provide translations.
5. Attract government operated ccTLD's in ccNSO – prepare and conduct briefing session for interested and relevant GAC members.
7. Introduce collaborative networking tools on a as needed basis – Implement Confluence as closed space for collaboration.
12. Establish and maintain ccNSO work plan/ Policy Road Map - adoption of work plan and associated procedures to maintain the work plan.

Some questions you may choose to ask related to the prior review include[2]:

1. Which recommendations from the last review were implemented and how?
2. Were any recommendations not implemented? If so, why not?
3. Have the implemented recommendations brought about the intended results? How is this measured or what are the proof points?
4. Have periodic updates on implementations been provided to members of the ccNSO, the ICANN Board or the wider ICANN community? If not, would there be value in providing such updates?

Background Information & Documents

- ccNSO guidelines: https://ccnso.icann.org/en/about/guidelines.htm
- About ICANN organizational reviews: https://www.icann.org/resources/reviews/org
- About the ccNSO organizational review: https://www.icann.org/resources/reviews/org/ccnso
- ICANN Bylaws: Article 4.4: https://www.icann.org/resources/pages/governance/bylaws-en#article4.4
- Prior review materials:

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[2] Depending on how the organization under review records its work, it is possible that answers to these questions already exisit. In that case, all that may be required is to provide links to existing documentation.

- ccNSO Review Final Report of the Independent Examiner (submitted to ICANN Board 15 June 2010): https://www.icann.org/en/system/files/files/items-ccnso-organisational-review-15jun10-en.pdf
- Final Report from the ccNSO Review Board Working Group (submitted to ICANN Board 4 March 2011): https://www.icann.org/en/system/files/files/ccnso-review-wg-final-report-04mar11-en.pdf
- ccNSO Implementation Plan (submitted to ICANN Board 9 June 2011): https://www.icann.org/en/system/files/files/ccnso-improvements-implementation-project-plan-09jun11-en.pdf
- Details of implementation (11 September 2013): https://www.icann.org/en/system/files/files/improvements-implementation-plan-11sep13-en.pdf