

## REFERENCE MATERIALS - BOARD PAPER NO. 2014.03.27.2b

**TITLE: ATRT2 Final Recommendations**

Reference Materials include:

- Attachment 1 - ATRT2 Recommendations and Implementation Detailed Analysis
- Attachment 2 - ATRT2 Recommendations and Implementation Scorecard
- ATRT2 Final Report and Recommendations - <http://www.icann.org/en/about/aoc-review/atrt/final-recommendations-31dec13-en.pdf>
- Affirmation of Commitments (AoC) - <http://www.icann.org/en/about/agreements/aoc/affirmation-of-commitments-30sep09-en.htm>
- One World Trust Report - ICANN Accountability and Transparency Metrics and Benchmarks <http://www.icann.org/en/about/aoc-review/atrt/metrics/benchmarks-consultancy-28feb14-en.pdf>
- Link to public comment period on ATRT2 Final Recommendations and staff summary - <http://www.icann.org/en/news/public-comment/atrt2-recommendations-09jan14-en.htm>

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Date Noted: 4 March 2014

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## ATRT2 RECOMMENDATIONS AND IMPLEMENTATION DETAILED ANALYSIS

### LEGEND:

#### Staff Input:

- 1a – adopt w/out modification
- 1b – adopt with modification
- 2 – reject

#### Steps – current status as of 17 March:

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- The diagram consists of two vertical boxes on the left, labeled 'Staff' and 'Board'. To the right of these boxes is a list of eight numbered steps. A bracket on the right side of the 'Staff' box groups steps 1 through 4. A bracket on the right side of the 'Board' box groups steps 5 through 8.
- 1. Assessment of clarity – return to ATRT2 if needed.
  - 2. Assessment of feasibility – engage with ATRT2 if not feasible.
  - 3. Assessment of resources required, time required, and organizational home if we decide to accept and implement.
  - 4. Staff input/recommendation.
  - 5. Board committee review
  - 6. Board discussion / decision by 30 June 2014
  - 7. Implementation and regular reporting.
  - 8. Check on completion.

## ATRT2 RECOMMENDATIONS AND IMPLEMENTATION DETAILED ANALYSIS

### PART I – BOARD ACTION

|       | ATRT2 Recommendations  | Clear | Feasible | Step | Staff Input | Resources | Milestones  |
|-------|--|-------|----------|------|-------------|-----------|---|
|       | <b>BOARD PERFORMANCE AND WORK PRACTICES</b>  |       |          |      |             |           |   |
| 1.    | 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.  | Yes   | No       | 4    | 1b          |           |   |
|       | <p>The recommendation focuses on all Board members. Measuring “quality of ICANN Board members” is a difficult task at best without some more information. Measuring more objective things, such as attendance, etc. is something that can be put into place. It will take some time, including with input from One World Trust, to identify the proper level of metrics, including for measuring the “success of Board improvements efforts” so long as the Board is able to identify a base line as well as what efforts are “Board improvement” efforts.</p> <p>Proposed step in lieu of this recommendation: conduct a survey of each Board member’s skillset and quantify number of Board members who say they have each skill. This evaluation could be conducted every year, thus allowing measurement over time. The survey would be anonymized so that numbers can be shared without names.</p> <p>This Recommendation will be on the BGC agenda for discussion during the BGC meeting in Singapore.</p> |       |          |      |             |           |   |
| 2 (b) | publish the materials used for training to gauge levels of improvement. – ICANN materials  | Yes   | Yes      | 4    | 1a          |           | <ul style="list-style-type: none"> <li>• Assess current ICANN created Board training materials (6 months);</li> <li>• Compile already published materials into one location in conjunction with ICANN university and other related activities (2 months);</li> <li>• Formulate non-public Board training materials into publishable format (3 months);</li> <li>• Include publication of ICANN related Board training materials into standard operating procedure upon completion of preceding milestones.</li> </ul> |
|       | As it relates to publishing ICANN created training materials only, recommendation is recommended for implementation. In terms of publishing ICANN related materials, we would need to evaluate what exists and whether it is in a form that can/should be published. We will need some time to review and make decisions on this. On a going forward basis, as materials are prepared we can do so with understanding that such materials will be published.   |       |          |      |             |           |   |
| 2 (c) | publish the materials used for training to gauge levels of improvement. – Third party materials  | Yes   | No       | 4    | 1b          | N/A       | N/A   |
|       | As it relates to publishing third party training materials, the ATRT2 recommendation should not be implemented (e.g. not advisable, nor feasible). Third party training materials are proprietary materials that ICANN does not have the right to publish.   |       |          |      |             |           |   |

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| 3 (b) | and should regularly assess Director's compensation levels against prevailing standards.  | Yes | Yes | 4 | 1a | At today's rates, each assessment could cost between US\$20,000 and US\$30,000.   |   |
|       | As it relates to regularly assessing Director's compensation over time, recommendation is recommended for implementation. As it relates to regularly assessing Director compensation, this is already part of our standard operating procedures (generally every two years or so). And, since it is an ongoing item, there is not a date or time needed to develop anything new. We are in the final stages of the most recent assessment.                                  |     |     |   |    |   |   |
|       | <b>POLICY/ IMPLEMENTATION/ EXECUTIVE FUNCTION DISTINCTION</b>   |     |     |   |    |   |   |
| 4     | 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.                           | Yes | Yes | 4 | 1a | Resources depend on what the effort involves, but this may not require any additional support than what the policy team is already providing in this ongoing community wide effort. | <ul style="list-style-type: none"> <li>The work plan and expected milestones for this activity can be found at <a href="https://community.icann.org/x/rC_fAg">https://community.icann.org/x/rC_fAg</a>. Target is to publish the initial report by ICANN 51 in Los Angeles.</li> </ul>  |
|       | Work is actively under way in the GNSO where a working group has been formed to develop recommendations in relation to a set of principles that would underpin any GNSO policy implementation related discussions. In implementing this recommendation, the Board may want to recognize this activity and note that it would like to review the outcome of this effort first before deciding what additional work may need to be undertaken to address this recommendation. |     |     |   |    |   |   |
|       | <b>DECISION MAKING TRANSPARENCY AND APPEALS PROCESSES</b>   |     |     |   |    |   |   |
| 5     | 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.  | Yes | Yes | 4 | 1a |   | <ul style="list-style-type: none"> <li>Creation and posting of non-disclosure/redaction guidelines covering all aspects of Board and Staff publications, including new section on reviewing previously redacted materials (compiling from various existing procedures) (3 months)</li> <li>Ensure review of previously redacted materials is part of standard operating procedure.</li> </ul> |
| 7.1   | Public Comment Process<br>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   | Yes | Yes | 4 | 1a | Additional preparation and assessment work will be needed to implement the recommendations as presented.  | <ul style="list-style-type: none"> <li>Phase I: Short-Term Actions/Improvements - Staff intends to complete an outline of Phase I improvement tasks/activities before the London Public Meeting –including the possibility of conducting a Community survey (or Focus Group) to gather additional feedback on earlier improvements that could not be quantified/qualified by</li> </ul>       |

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|     | participation, and new tools that facilitate participation.   |     |     |   |    |  | <p>studying the Forums themselves.</p> <ul style="list-style-type: none"> <li>• As part of separately orchestrated re-engineering effort inspired by the ICANN Labs initiative, some immediate design changes are already being made to the ICANN Public Comments pages on ICANN.org. Any potential survey work will likely be coordinated with an assessment of the success of the impending web site changes.</li> <li>• Phase II: Longer-Term Actions/Improvements - Following completion of the initial short-term actions/improvements, Phase II plans and specifications will depend upon the outcomes of any data collection conducted as part of the Phase I research and feedback.</li> </ul> |
|     | <ul style="list-style-type: none"> <li>• Staff is considering eliminating the Reply Cycle and will make appropriate recommendations for such changes to the ICANN community.</li> <li>• Regarding the length of the public comment forum periods themselves, staff is currently evaluating alternatives for adjusting the minimum comment forum timeframes to take into consideration the type and number of active solicitations at any one time.</li> <li>• Regarding forward planning, staff does not have any data to support whether the system of categorization of public comment forum topics that was implemented in January 2012 has benefited the process and/or, in particular, Community members. Staff is considering how best to accomplish an assessment to answer this and other important questions pertaining to the Public Comments process.</li> <li>• Staff agrees with ATRT2 that a survey or other mechanism is advisable to ensure that the recommendations are having the desired effect in improving Community planning and scheduling efforts.</li> <li>• In measuring participation, the nature of ICANN Public Comments requires that the calculation of responses needs to be tailored to the unique conditions of its key contributors. Based on the May 2013 Public Comments Data Analysis conducted by staff, one important characteristic of many responses is that they are representative of large stakeholder groups. For example, when the GNSO's Registries Stakeholder Group submits one response to a Forum topic, it does so on behalf of its entire community, which accounts for approximately 30 major organizations and many, many more individuals.</li> <li>• Staff is evaluating several possible new tools in this area including (a) ways that we might segment respondents by usage type (i.e., SG, Constituency, Individual), (b) determining if there should be separate technology platforms for different use cases (e.g., static for organized structures; dynamic for individual contributors), and (c) broadening the envelope of participation mechanisms so that each type of Community user finds an appropriate communication channel to ICANN. Through the use of the ICANN Labs initiative an upcoming re-theming of the ICANN.org web site has enabled staff to experiment with some new tools and infrastructure capabilities including new comment submission methodologies and the capability to employ threaded "conversations" within public comment forums. Staff will be experimenting with these tools to improve community comment capabilities.</li> </ul> |     |     |   |    |  |  |
| 7.2 | 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)   | Yes | Yes | 4 | 1a |  | See 7 (a)  |
|     | <p>Staff is currently investigating this recommendation to determine how best to implement it.</p> <ul style="list-style-type: none"> <li>• As an outcome of ATRT1, one idea that was implemented, but made optional for staff at that time, was the creation of an "Issues Tracking Checklist." The purpose of this new template was to document and publish every submitted idea, suggestion, concern, complaint, etc., in a tabular/columnar format that includes a specific status (e.g., Under Review, Pending, Resolved, and Deferred) as well as a formal written disposition. The concept behind this checklist was not only to increase transparency, but to improve accountability by showing how the Community's comments are reviewed,</li> </ul>   |     |     |   |    |  |  |

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|      | <p>managed, and tracked to some form of resolution. Several Working Groups and staff departments have utilized the checklist for their Public Comments topics and staff is now considering making this earlier recommendation/best practice mandatory for all solicitations as part of the formal reporting process.</p> <ul style="list-style-type: none"> <li>• Staff will look for ways to accommodate ATRT2 Recommendation 7.2 into this change so that, if someone believes that a summary Report misconstrues or misrepresents any aspect of a submitted comment document, that this can be documented within the checklist process, analyzed, and resolved in a transparent and accountable manner.</li> </ul>   |     |     |   |    |  |
| 9.3  | <p>9.3. Review Ombudsman Role:</p> <p>The Board should review the Ombudsman role as defined in the bylaws to determine whether it is still appropriate as defined, or whether it needs to be expanded or otherwise revised to help deal with the issues such as:</p> <ol style="list-style-type: none"> <li>A role in the continued process of review and reporting on Board and staff transparency.</li> <li>role in helping employees deal with issues related to the public policy functions of ICANN, including policy, implementation and administration related to policy and operational matters.</li> <li>A role in fair treatment of ICANN Anonymous Hotline users and other whistleblowers, and the protection of employees who decide there is a need to raise an issue that might be problematic for their continued employment.</li> </ol> | Yes | Yes | 4 | 1a | <p>The milestones will include the following, totaling up to one year:</p> <ul style="list-style-type: none"> <li>• Locate and engage an expert to review the Ombudsman’s current and appropriate scope for the organization and community (up to 6 months);</li> <li>• Expert to conduct the review and issue a draft report (possibly) for public comment and staff to draft and post suggested Bylaws revisions for public comment with the draft report (up to 4 to 5 months);</li> <li>• Summarize and analyze public comment and make any necessary changes to the recommendations and proposed Bylaws revisions, if applicable (up to 6 weeks);</li> <li>• Board adoption and implementation of approved Bylaws revisions, if any (up to 3 months, depending on the nature of recommendations).</li> <li>• Consider whether any suggested changes should be instituted with current ombudsman or whether we should wait until current ombudsman’s terms is concluded, as current ombudsman might not have the requisite skillset to address potential changes.</li> </ul> |
| 9.4a | <p>9.4. Develop Transparency Metrics and Reporting:</p> <p>The Board should ensure that as part of its yearly report, ICANN include, among other things, but not be limited to:</p> <ol style="list-style-type: none"> <li>A report on the broad range of Transparency issues with supporting metrics to facilitate accountability.</li> </ol>  | Yes | Yes | 4 | 1a | <ul style="list-style-type: none"> <li>• Implementation of actions resulting from the One World Trust Report on Accountability Framework, Metrics and Benchmarks - <a href="http://www.icann.org/en/news/announcements/announcement-04mar14-en.htm">http://www.icann.org/en/news/announcements/announcement-04mar14-en.htm</a></li> </ul>  |
|      | <p>This is implementable – although not sure if needs to be part of the existing annual report or a separate report. Production of an annual report addressing not just transparency, but also accountability (of which transparency is one important dimension) is the focus of current work as part of the Accountability and Transparency Benchmarks and Metrics project, based on the work of One World Trust (OWT). ICANN anticipates implementing a framework for measuring, assessing and reporting ICANN's performance relative to its peers as well as relative to its performance over time. Staff proposes that this framework be used to define "the broad range of Transparency issues with supporting metrics." OWT final report was just published; metrics included have not yet been adopted or approved.</p>                          |     |     |   |    |  |

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| 9.4c  | c. Statistical reporting to include at least the following elements:<br>i. requests of the Documentary Information Disclosure Policy (DIDP) process and the disposition of requests.<br>ii. percentage of redacted-to-unredacted Board briefing materials released to the general public.<br>iii. number and nature of issues that the Board determined should be treated confidentially.<br>iv. other ICANN usage of redaction and other methods to not disclose information to the community and statistics on reasons given for usage of such methods. | Yes | Yes | 4 | 1a | <ul style="list-style-type: none"> <li>As to (i) (this is already being done – see <a href="http://www.icann.org/en/groups/board/reconsideration/bgc-accountability-mechanisms-21nov13-en.pdf">http://www.icann.org/en/groups/board/reconsideration/bgc-accountability-mechanisms-21nov13-en.pdf</a>),</li> <li>(i), and (iii) will not require other personnel or financial resources as once in place, it will be made part of normal tracking.</li> <li></li> </ul> | <ul style="list-style-type: none"> <li>Milestone is reporting in an annual report and each year after that.</li> <li>Crosscheck with One World Trust Accountability metrics implementation. If metrics are adopted, this will be part of standard operating procedure.</li> </ul>   |
| As for (iv) – this is a bit vague, but can be addressed in some way.  |   |     |     |   |    |  |   |
| 9.4d  | d. A section on employee “Anonymous Hotline” and/or other whistleblowing activity, to include metrics on:<br>i. Reports submitted.<br>ii. Reports verified as containing issues requiring action.<br>iii. Reports that resulted in change to ICANN practices.   | Yes | Yes | 4 | 1a |  | <ul style="list-style-type: none"> <li>Milestone is simply reporting in an annual report and each year after that</li> </ul>  |
| This is implementable to the extent it is subject to maintaining the privacy and confidentiality of the reporter. |   |     |     |   |    |  |   |
| 9.4e  | e. An analysis of the continued relevance and usefulness of existing transparency metrics, including<br>i. Considerations on whether activities are being geared toward the metrics (i.e. “teaching to the test”) without contributing toward the goal of genuine transparency.<br>ii. Recommendations for new metrics.   | Yes | Yes | 4 | 1b |  | <ul style="list-style-type: none"> <li>See implementation of Accountability Framework and Metrics, recommended by One World Trust (<a href="http://www.icann.org/en/news/announcements/announcement-04mar14-en.htm">http://www.icann.org/en/news/announcements/announcement-04mar14-en.htm</a>)</li> <li>Analysis of continued relevance and usefulness to take place after the accountability metrics have been implemented, gathered, analyzed and reported for a sufficient period of time.</li> </ul> |
| This is implementable, subject to metric recommendations from OWT and the implementation of those.                |   |     |     |   |    |  |   |
| 9.5   | 9.5. The Board should arrange an audit to determine the viability of the ICANN Anonymous Hotline as a whistleblowing mechanism and implement any necessary improvements.<br><br>The professional external audit should be based on  | Yes | Yes | 4 | 1b |  | <p>The milestones will include the following and take up to 4-6 months:</p> <ul style="list-style-type: none"> <li>Engage the entity to conduct the review;</li> <li>Conduct the review;</li> <li>Make recommendations on revisions, if any, to the Anonymous Hotline Policy; and</li> <li>Implement recommended changes to the extent they are legally</li> </ul>  |

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|      | the Section 7.1 and Appendix 5 - Whistleblower Policy of the One World Trust Independent Review of 2007 recommendations to establish a viable whistleblower program, including protections for employees who use such a program, and any recent developments in areas of support and protection for the whistleblower. The professional audit should be done on a recurring basis, with the period (annual or bi-annual, for example) determined upon recommendation by the professional audit. The processes for ICANN employee transparency and whistleblowing should be made public.  |     |     |   |    |  | viable for each of ICANN's locations.   |
|      | <p>This recommendation is implementable to the extent that "audit" is considered a "review."<br/>           What is not clear is what is meant by "ICANN employee transparency" beyond what is considered "whistleblowing." If limited to the whistleblowing, or "anonymous" hotline then this can be implemented as written.</p> <p>While the concept of getting an external validation of the Anonymous Hotline program is supportable, the state of the art on these items tends not to change as rapidly as the recommendation suggests. Once a program to review the policy is in place, a tri-annual review cycle may represent a better use of resources while still assuring that the policy meets best practices.</p> |     |     |   |    |  |   |
|      | <b>GAC OPERATIONS AND INTERACTIONS</b>   |     |     |   |    |  |   |
| 6.8  | 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.  | Yes | Yes | 4 | 1a |  |   |
|      | <ul style="list-style-type: none"> <li>•The GSE currently provides the GAC leadership with monthly reports showing the previous months activity and the anticipated upcoming month's engagement activity involving governments (not just GAC members) so that they have awareness of the government specific engagement activity – this was instituted at the request of the GAC.</li> <li>• GSE can work with the BGRI to identify additional mechanisms for coordination.</li> </ul>   |     |     |   |    |  |   |
| 6.9b | 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);  | Yes | Yes | 4 | 1a |  |   |
| 6.9c | c. Making ICANN's work relevant for stakeholders in those parts of the world with limited participation; and,  | Yes | Yes | 4 | 1a |  | <ul style="list-style-type: none"> <li>• Regional VPs working with multistakeholder community committees are developing regional strategic engagement plans driven by the community priorities. Thus far Africa, Latin-American and the Caribbean, and the Middle East have community developed engagement strategies that have progressed to implementation</li> </ul> |



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|       |   |     |     |   |    |  | <p>phase. These regions have developed and implemented projects and completed regional prioritization exercises to determine the order of work. These projects will run throughout FY14 and plans are underway for which projects will be prioritized and budgeted for FY15.</p> <ul style="list-style-type: none"> <li>• The Asia region (and sub-regional planning for API) strategies planning are underway and will be described at the ICANN 49 Singapore meeting. Engagement activities will continue to be rolled out through T3 FY14. It is expected that they will move to full implementation in T1 FY15.</li> <li>• The European community is still in a more preliminary phase of planning and discussion but will conduct another working session in Singapore with a target presentation of the engagement framework at the London meeting. Project design would then begin in T1 FY15.</li> </ul> |
|       | The plans for each region ensure that efforts reflect the communities' interests and priorities and address issues of access as identified and prioritized by the community (whether that is gTLD related or not).  |     |     |   |    |  |  |
| 6.9d  | 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 gTLD's.   | Yes | Yes | 4 | 1a |  | See item 6 (l)   |
|       | <b>CROSS-COMMUNITY DELIBERATIONS</b>  |     |     |   |    |  |  |
| 10.1a | <p>10. The Board should improve the effectiveness of cross-community deliberations.</p> <p>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:</p> <p>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.</p> | Yes | Yes | 4 | 1a |  | <ul style="list-style-type: none"> <li>• For further details on the latest status of the GNSO working group, please see <a href="http://gns0.icann.org/en/drafts/pdp-improvements-table-16jan14-en.pdf">http://gns0.icann.org/en/drafts/pdp-improvements-table-16jan14-en.pdf</a>.</li> <li>• Status updates will be provided to the GNSO and the broader community on an ongoing basis.</li> <li>• The GNSO Council has also requested that formal updates will be provided during its F2F meetings at ICANN meetings - the next one is to be scheduled for London.</li> </ul>  |
|       | As part of its efforts to continually improve and enhance its policy development activities, the GNSO is already actively working on a number of improvements to enhance and streamline the GNSO Policy   |     |     |   |    |  |  |

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|       | <p>Development process such as exploring the option of face-to-face PDP WG meetings, professional services to support policy development activities as well as activities to facilitate the recruitment and integration of new WG volunteers.</p> <p>Implementation of several of the proposed improvements is already actively underway – some may be initially implemented as pilot projects to determine their effectiveness (for example, funding is expected to be requested under the FY15 Community Special Budget Requests to develop a pilot project on facilitated F2F PDP WG meetings).</p> <p>The GNSO Council formed a small committee of interested Council members to work with staff on implementing the proposed improvements.</p> |     |     |   |    |  |  |
| 10.1b | <p>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.</p>   | Yes | Yes | 4 | 1a |  | See 10 (a)   |
| 10.1c | <p>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.</p>  | Yes | Yes | 4 | 1a |  | See 10 (a)   |
| 10.2  | <p>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</p>   | Yes | Yes | 4 | 1a |  | <ul style="list-style-type: none"> <li>• Work is already under way in the Consultation Group, which is meeting every two weeks. Proposed solutions are expected to be presented to the GNSO and GAC by the end of FY14.</li> <li>• Implementation may take the form of pilots steps from then, some pilot activity may start earlier (such as, for example a GNSO liaison to the GAC).</li> <li>• For further information, please see the mailing list archives at <a href="http://mm.icann.org/pipermail/gac-gnso-cg/attachments/20140212/c6e3f7b6/GAC-GNSO-final-0001.pdf">http://mm.icann.org/pipermail/gac-gnso-cg/attachments/20140212/c6e3f7b6/GAC-GNSO-final-0001.pdf</a>.</li> <li>• A status update is expected to be provided during the next GNSO-</li> </ul> |

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|      | and sharing of ideas/opinions, both in face-to-face meetings and intersessionally, and should institutionalize the cross-community deliberations foreseen by the AoC.   |     |     |   |    |  | GAC joint meeting in Singapore.  |
|      | <ul style="list-style-type: none"> <li>The GAC and GNSO jointly launched a Consultation Group on Early Engagement which is the result of discussions between the two entities at the ICANN meeting in Buenos Aires as well as previous ICANN meetings, to explore and enhance ways of early engagement in relation to GNSO policy development activities.</li> <li>The Consultation Group has adopted a charter outlining its objectives (see <a href="http://mm.icann.org/pipermail/gac-gns0-cg/attachments/20140212/c6e3f7b6/GAC-GNSO-final-0001.pdf">http://mm.icann.org/pipermail/gac-gns0-cg/attachments/20140212/c6e3f7b6/GAC-GNSO-final-0001.pdf</a>) and is expected to focus on two strands of work: 1) day to day co-ordination between the GNSO and GAC, 2) GAC early engagement in the GNSO PDP.</li> </ul> |     |     |   |    |  |  |
| 10.3 | <p>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:</p> <p>a. All ICANN communities with an interest in gTLD policy and in particular, those represented within the GNSO;</p> <p>b. Under-represented geographical regions;</p> <p>c. Non-English speaking linguistic groups;</p> <p>d. Those with non-Western cultural traditions; and</p> <p>e. Those with a vital interest in gTLD policy issues but who lack the financial support of industry players.</p>   | Yes | Yes | 4 | 1a |  | <ul style="list-style-type: none"> <li>The proposed implementation of this recommendation includes the review of existing outreach efforts and determination whether there are any actions the GNSO Council should be taking to increase the pool of PDP volunteers.</li> <li>The GNSO Council formed a small committee of interested Council members to work with staff on implementing the proposed improvements.</li> <li>Status updates will be provided to the GNSO and the broader community on an ongoing basis.</li> <li>The GNSO Council has also requested that formal updates will be provided during its F2F meetings at ICANN meetings - the next one is to be scheduled for London.</li> <li>Furthermore the Community Regional Outreach Pilot (CROP), launched in 2013, is a community regional outreach trip program to be made available to regional At-Large organizations and non-contract GNSO constituencies, as a programmed approach to building local/regional awareness and recruitment of new community members; ore effectively engaging with current members and/or "reactivating" previously engaged ICANN community members; and communicating ICANN's mission and objectives to new audiences.</li> </ul> |
|      | In implementing this ATRT2 recommendation, however, the ICANN Board may also want to review broader outreach and engagement activities that may not specifically relate to the GNSO, but which do focus on engaging currently under-represented groups within ICANN to determine whether there any additional activities need to be undertaken in order to meet this recommendation.  |     |     |   |    |  |  |
| 10.4 | 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  | Yes | Yes | 4 | 1a |  |  |

## ATRT2 RECOMMENDATIONS AND IMPLEMENTATION DETAILED ANALYSIS

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|      | 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.  |     |     |   |    |  |  |
|      | The ICANN Board with the assistance of ICANN Legal could develop a statement to clarify that the ICANN Board does not develop policy. Rather, if implementable, ICANN Board generally approves policy recommendations developed by the SOs, and the ICANN staff generally is in the position of implementing the approved policy(ies). In the absence of a policy, the Board will set a process or procedure to the extent one is needed in order to conduct business. Such a process or procedure would of course be subject to modification if one of the SOs later develops a policy on the same topic. It would not be prudent to predict the future revision of Board-approved policy recommendations, but the same sentiment as in the first sentence applies in that it is not the Board's role to develop policy.   |     |     |   |    |  |  |
| 10.5 | 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.   | Yes | Yes | 4 | 1a |  |  |
|      | <p>Numerous activities are underway and will be ongoing in order to facilitate equitable participation in applicable ICANN activities:</p> <ul style="list-style-type: none"> <li>• Increase in the level of travel support for non-contracted parties via the Special Budget Request for FY 2014.</li> <li>• ICANN has been working on expanding and improving its remote participation facilities in order to improve access across the board. One example is ICANN Labs, working to increase digital engagement with special focus on newcomers to the ICANN community, by making it easier to move from general awareness to a full and active membership. The digital platforms that emerge from ICANN Labs will help deliver information to bigger and more geographically spread groups and will lead towards a reconceptualization of ICANN.org. This will broaden and deepen ICANN's engagement with existing and new stakeholders from around the world.</li> <li>• Fellowship program has been designed to create a broader and more regionally diverse base of knowledgeable constituents by reaching out to the less developed regions of the world to build capacity within the ICANN Multistakeholder Model.</li> <li>• Community Regional Outreach Pilot (CROP), launched in 2013 as a community regional outreach trip program to be made available to regional At-Large organizations and non-contract GNSO constituencies, as a programmed approach to building local/regional awareness and recruitment of new community members; ore effectively engaging with current members and/or "reactivating" previously engaged ICANN community members; and communicating ICANN's mission and objectives to new audiences.</li> </ul> |     |     |   |    |  |  |
|      | <b>AOC REVIEW PROCESS EFFECTIVENESS</b>   |     |     |   |    |  |  |
| 11.1 | <p>11. Effectiveness of the Review Process:</p> <p>11.1 - Institutionalization of the Review Process: 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.</p>  | Yes | Yes | 4 | 1a |  | <ul style="list-style-type: none"> <li>• ATRT2 recommendations will be considered in the Strategic Planning process – currently underway</li> <li>• Implementation of ATRT2 recommendations designated as a strategic priority.</li> </ul> |
| 11.4 | <p>11.4 Complete implementation reports:</p> <p>The Board should prepare a complete implementation report to be ready by review kick-off. This report should be submitted for public</p>  | Yes | Yes | 4 | 1b |  |  |

## ATRT2 RECOMMENDATIONS AND IMPLEMENTATION DETAILED ANALYSIS

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|      | consultation, and relevant benchmarks and metrics must be incorporated in the report.  |     |     |   |    |  |   |
|      | <ul style="list-style-type: none"> <li>• Annual implementation reports currently are issued before review kick-off, and benchmarks and metrics arising out of the organizational Accountability Benchmarks and Metrics project will be incorporated in future reports. Recommend acknowledging these ongoing activities.</li> <li>• In order to provide the review team with the most up-to-date information, staff suggests that the public consultation component be a part of the review team's process, as it has been in the past.</li> <li>• Depending on the timing of the given review, a "complete" implementation report may not be feasible as the implementation work may be ongoing.</li> <li>• Given the wide array of opinions within this and other Review Teams regarding format and substance of staff reports on implementation, staff will develop a standardized approach to annual implementation reports.</li> <li>• Annual implementation reports for recommendations from all AoC reviews (WHOIS, SSR and ATRT) will be published prior to ICANN 49 Singapore. There are in excess of 70 recommendations subject to this reporting (WHOIS - 16; SSR - 28; ATRT1 – 27).</li> </ul> |     |     |   |    |  |   |
| 11.5 | <p>11.5 Budget transparency and accountability:</p> <p>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.</p>  | Yes | Yes | 4 | 1a |  | <ul style="list-style-type: none"> <li>• Each Review Team will be provided with a budget for travel and professional services at the beginning of the given review (noting that review team schedules often straddle multiple budget cycles), along with the rationale for the amount allocated.</li> </ul>   |
| 11.6 | <p>11.6 Board action on Recommendations:</p> <p>The Board should address all AoC Review Team recommendations in a clear and unambiguous manner, indicating to what extent they are accepting each recommendation.</p>  | Yes | Yes | 4 | 1a |  | <ul style="list-style-type: none"> <li>• The Board will address all AoC Review Team recommendations in a clear and unambiguous manner, indicating to what extent they are accepting each recommendation.</li> <li>• Applicable to the Board's response to ATRT2 recommendations, which will be provided by 30 June 2014, as mandated by the AoC.</li> </ul> |
| 11.7 | <p>11.7 Implementation Timeframes:</p> <p>In responding to Review Team recommendations, the Board should provide an expected time frame for</p>  | Yes | Yes | 4 | 1b |  | <ul style="list-style-type: none"> <li>• Timelines and milestones for each ATRT2 recommendation that the Board decides to direct staff to implement.</li> </ul>   |

## ATRT2 RECOMMENDATIONS AND IMPLEMENTATION DETAILED ANALYSIS

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|      | implementation, and if that time frame is different from one given by the Review Team, the rationale should address the difference.  |     |     |   |    |  |   |
|      | <p>The current process is to publicly report on implementation of all AoC reviews. Staff recommends acknowledging that ATRT2 worked collaboratively with the Board, community and staff to determine feasibility and implementability of the recommendations prior to issuing final recommendations. This collaborative approach should be expanded and adopted by all AoC review teams.</p> <p>ATRT2 considered prioritization of the recommendations, but ultimately decided that prioritization should be considered and addressed by the Board based on community and staff resources, noting that “ATRT2 believes that these Recommendations are important and, to the extent accepted by the Board, should be treated as a strategic priority.”</p> <ul style="list-style-type: none"> <li>• Staff recommends that a “holistic” consideration of community and staff resources be undertaken from an enterprise-wide perspective to align implementation plans with strategic initiatives and resources.</li> <li>• In instances where implementation work fits into a continuous improvement category, it’s important to note that while milestones and goals should be set and performance measured against such, completion of implementation would not be a relevant measure for the next Review Team to consider when analyzing implementation progress.</li> <li>• Driven by the 3-year Review Cycle it may be advisable to undertake recommendations where implementation can be reasonably estimated to be completed within 12-18 months. Stated differently, the Board should consider dividing implementation efforts into logical phases and focusing on the successful implementation of initial phases within the next review cycle.</li> </ul> |     |     |   |    |  |   |
|      | <b>FINANCIAL ACCOUNTABILITY AND TRANSPARENCY</b>   |     |     |   |    |  |   |
| 12.3 | 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.   | Yes | Yes | 4 | 1b |  | Milestones for the implementation can be provided once the overall plan, including benchmarking, is designed. |
|      | Staff agrees that benchmarking the organization is a useful practice. As staff is developing a plan to implement metrics/KPIs across the organization, it is suggested to include in this plan a phase to identify implemented metrics/KPIs that can be benchmarked, once a base line is available.  |     |     |   |    |  |   |
| 12.4 | 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.   | Yes | Yes | 4 | 1a |  | • Strategic Plan for FY 2016-20 – Board action expected in June 2014  |

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|      |  |     |     |           |    |  |   |
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|      | 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.  |     |     |           |    |  |   |
|      | <ul style="list-style-type: none"> <li>• Staff has initiated the development of a strategic plan over a 5-year period (exceeding the 3-year period recommended).</li> <li>• The strategic plan is anticipated to include high level financial information by year that will provide the financial impact of the plan over 5 years. The objectives and financial information of the first year of the 5-year plan would be the starting point for the development of the annual operating plan and budget development process.</li> <li>• The current plan is to finalize the 5-year strategic plan by the end of the FY14, and use it as a basis to develop the FY16 Operating plan and Budget.</li> </ul> |     |     |           |    |  |   |
| 12.5 | 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 between the Board and the Supporting Organizations and Advisory Committees to discuss the proposed budget.  | Yes | Yes | 4         | 1a |  | Staff will include the corresponding requirements in the design of the planning process (including the strategic plan, the operating plan and Budget) for FY16. If certain process changes defined can be implemented for the FY15 process, staff will include them. Please also refer to Staff’s answer on 12.1. |
|      | <b>TOTAL COMPONENTS READY FOR BOARD ACTION</b>   |     |     | <b>33</b> |    |  |   |

## ATRT2 RECOMMENDATIONS AND IMPLEMENTATION DETAILED ANALYSIS

### PART II – PENDING ADDITIONAL WORK

|       | ATRT2 Recommendations   | Clear | Feasible | Step | Staff Input | Resources | Milestones |
|-------|---|-------|----------|------|-------------|-----------|------------|
|       | <b>BOARD PERFORMANCE AND WORK PRACTICES</b>   |       |          |      |             |           |            |
| 2 (a) | 2. The Board should develop metrics to measure the effectiveness of the Board’s functioning and improvement efforts, and  | No    | No       | 1    | TBD         |           |            |
|       | ATRT2 recommendation is not clear, or the way forward to implement ATRT2 recommendation is not clear and requires further review and analysis to determine if the recommendation is implementable and if so, how it should be implemented. The first part that is not about publishing training materials seems to be very similar to part of Recommendation No. 1 that calls for measuring Board improvement efforts. See comments above for No. 1. Further, it is unclear how publishing training materials will help gauge levels of actual Board improvement.   |       |          |      |             |           |            |
| 3 (a) | 3. The Board should conduct qualitative/quantitative studies to determine how the qualifications of Board candidate pools change over time,   | No    | No       | 1    | TBD         |           |            |
|       | This Recommendation will be on the BGC agenda for discussion in Singapore.<br>The recommendation is not currently implementable as written because the NomCom does not maintain the necessary information from prior candidates and does not currently have the right to use such data for such studies. On a going forward basis it might be possible if the NomCom in advance notified the candidates that it intended to use the data to perform such studies as called for in the first part of this recommendation. If the ATRT2 is asking the Board to perform such studies, then the ATRT2 recommendation is not implementable because the Board does not collect, maintain or have access to such data about the candidate pools. |       |          |      |             |           |            |
|       | <b>DECISION MAKING TRANSPARENCY AND APPEALS PROCESSES</b>   |       |          |      |             |           |            |
| 9.1   | 9.1 Consideration of decision-making inputs and appeals processes:<br><br>ICANN Bylaws Article XI should be amended to include the following language to mandate Board Response to Advisory Committee Formal Advice:<br>The ICANN Board will respond in a timely manner to formal advice from all Advisory Committees, explaining what action it took and the rationale for   | No    | No       | 1    | TBD         |           |            |



## ATRT2 RECOMMENDATIONS AND IMPLEMENTATION DETAILED ANALYSIS

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|     | doing so.   |     |    |   |     |   |   |
|     | <p>This Recommendation will be on the BGC agenda for discussion in Singapore.</p> <p>ATRT2 recommendation is not clear, or the way forward to implement ATRT2 recommendation is not clear and requires further review and analysis by staff to determine if the recommendation is implementable and if so, how it should be implemented.</p> <ul style="list-style-type: none"> <li>• In Durban, ICANN’s Chairman of the Board committed to implementing a publicly available register of advice from all Advisory Committees (in addition to the process already in place for GAC advice). An initial version of this register, including SSAC and ALAC advice was introduced shortly before ICANN’s meeting in Buenos Aires and consultations are underway regarding the future design and use of the tool.</li> <li>• It is not clear that the Bylaws require an amendment in order to adopt this recommendation. If Bylaws amendment is required, that will take time to develop the revision, post it for public comment, summarize and analyze the comments and then determine whether such a recommended revision is acceptable.</li> <li>• If so, then it will likely take time for the Advisory Committees to develop or fine-tune procedures for reaching “formal advice” to the Board and the procedure for the Board to “respond” to that advice. This could take some time and there might be some overlap to what the community is currently working on related to policy/implementation.</li> <li>• Adequate time should be given for the register to be rolled out and tested, as well as for the on-going community discussions on policy and implementation to conclude to determine if those discussions have any implications on this recommendation. It makes sense that all of these things occur before changing the Bylaws.</li> </ul> <p>We should continue testing the community advice register but also need to understand what “formal advice” means. No action on bylaws change suggestion is recommended at this time.</p> |     |    |   |     |   |   |
| 9.2 | <p>9.2 Explore Options for Restructuring Current Review Mechanisms:</p> <p>The ICANN Board should convene a Special Community Group, which should also include governance and dispute resolution expertise, to discuss options for improving Board accountability with regard to restructuring of the Independent Review Process (IRP) and the Reconsideration Process. The Special Community Group will use the 2012 Report of the Accountability Structures Expert Panel (ASEP) as one basis for its discussions. All recommendations of this Special Community Group would be subject to full community participation, consultation and review, and must take into account any limitations that may be imposed by ICANN’s structure, including the degree to which the ICANN Board cannot legally cede its decision-making to, or otherwise be bound by, a third party.</p>  | Yes | No | 2 | TBD | <p>Should the Board decide to move forward with implementation of this recommendation, staff highlights several areas to consider.</p> <ul style="list-style-type: none"> <li>• Determine who will provide staff support for this group.</li> <li>• The level of work they can do remotely vs. requiring in person meetings will drastically affect the level of financial resources that would be required to support this effort.</li> <li>• The implementation could take 12-18 months to conclude, but could be sooner if sufficient staff support is immediately available.</li> </ul> | <p>Milestones:</p> <ul style="list-style-type: none"> <li>• Identify group members;</li> <li>• Provide sufficient time for the group to conduct work and make recommendations;</li> <li>• Publicly post recommendation and possibly bylaws revisions;</li> <li>• Board consideration of recommendations in light of public comment (or following further draft from group following public comments);</li> <li>• If revisions or new review mechanisms are adopted, upon completion of Bylaws revisions, it could take little time or a long time to implement the changes, depending on what they are. If simple revisions to the mechanism and only calls for revision to the language of the Bylaws, it should take about two months. If a whole new mechanism or new approach to existing mechanisms is recommended, it is too difficult to quantify time needed for implementation.</li> </ul> |
|     | <p>ICANN has just recently completed an intensive evaluation of its accountability mechanisms through the Accountability Structures Expert Panel (ASEP), which was established pursuant to recommendations from the ATRT1. The Bylaws revisions resulting from the ASEP’s work were only put into effect in April 2013.</p> <p>There has not yet been an Independent Review proceeding fully conducted under the revised Bylaws, and only a handful or so requests for Reconsideration have been concluded pursuant to the new</p>  |     |    |   |     |   |   |

## ATRT2 RECOMMENDATIONS AND IMPLEMENTATION DETAILED ANALYSIS

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|      | Bylaws. The community may benefit by having some track record of use and effect of the recently revised mechanisms prior to initiating a new review of those same mechanisms.   |     |     |   |     |   |   |
| 9.4b | b. A discussion of the degree to which ICANN, both staff and community, are adhering to a default standard of transparency in all policy, implementation and administrative actions; as well as the degree to which all narratives, redaction, or other practices used to not disclose information to the ICANN community are documented in a transparent manner.   | Yes | No  | 2 | TBD |   |   |
|      | The very broad wording of the first part of this request makes success in meeting this recommendation quite difficult. There is no identification of what should be focused upon, what type of initiatives should be reported upon, or what forms of documents or redactions should be included.<br>In terms of documenting how and when items are redacted or withheld from disclosure, this can be done fairly quickly and can be a regular part of any such report. Indeed, implementing Recommendation No. 5, might be sufficient to satisfy this, at least as it relates to the staff and Board.   |     |     |   |     |   |   |
|      | <b>GAC OPERATIONS AND INTERACTIONS</b>  |     |     |   |     |   |   |
| 6.1  | <p>Increased transparency of GAC-related activities:</p> <p>6.1. ATRT2 recommends that the Board work jointly with the GAC, through the Board-GAC Recommendation Implementation Working Group (BGRI working group), to consider a number of actions to make its deliberations more transparent and better understood to the ICANN community. Where appropriate, ICANN should provide the necessary resources to facilitate the implementation of specific activities in this regard. Examples of activities that the GAC could consider to improve transparency and understanding include:</p> <p>a. 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;</p> <p>b. Publishing agendas for GAC meetings,</p> | Yes | Yes | 3 | TBD | Certain recommendations call for extra resources, notably 6.1.a (depending on ambition and frequency), 6.1.c (a new website needed instead of the current perfunctory Wiki-based solution). | Timing and milestones are for BGRI (and ultimately GAC) to agree upon, also in light of ongoing work in GAC Working Methods WG (where much of 6.1 are already in progress). |

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|     | <p>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;</p> <p>c. 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;</p> <p>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;</p> <p>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;</p> <p>f. Establishing as a routine practice agenda setting calls for the next meeting at the conclusion of the previous meeting;</p> <p>g. Providing clarity regarding the role of the leadership of the GAC; and,</p> <p>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.</p> |     |     |   |     |  |   |
| 6.2 | 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.  | Yes | Yes | 3 | TBD |  | Timing and milestones are for BGRI (and ultimately GAC) to agree upon, also in light of ongoing work in GAC Working Methods WG. |
| 6.3 | 6.3. ATRT2 recommends that the Board work jointly   | Yes | Yes | 3 | TBD |  | Timing and milestones are for BGRI (and ultimately GAC) to agree  |

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|     | 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.   |     |     |   |     |   | upon, also in light of ongoing work in GAC Working Methods WG.  |
| 6.4 | 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).  | Yes | Yes | 3 | TBD |   | Timing and milestones are for BGRI (and ultimately GAC) to agree upon, also in light of ongoing work in GAC Working Methods WG. |
| 6.5 | 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).  | Yes | Yes | 3 | TBD |   | Timing and milestones are for BGRI (and ultimately GAC) to agree upon, also in light of ongoing work in GAC Working Methods WG. |
| 6.6 | <p>Increase support and resource commitments of government to the GAC (see ATRT 1 Recommendation 14):</p> <p>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 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</p> | Yes | Yes | 3 | TBD | Certain recommendations call for extra resources, notably 6.6 (depending on BGRI decisions on details of this broadly scoped rec) | Timing and milestones are for BGRI (and ultimately GAC) to agree upon, also in light of ongoing work in GAC Working Methods WG. |

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|      | domestic government position and are consistent with existing relevant national and international laws.   |     |     |   |     |   |  |
| 6.7  | 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.   | Yes | Yes | 3 | TBD | Certain recommendations call for extra resources, notably 6.7 (if supported/ financed by ICANN, rather than by host nation)   | Timing and milestones are for BGRI (and ultimately GAC) to agree upon, also in light of ongoing work in GAC Working Methods WG.  |
| 6.9a | 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:<br>a. Relationships with GAC and non-GAC member countries, including the development of a database of contact information for relevant government ministers;   | Yes | Yes | 3 | TBD | Work on the CRM development for GSE is in the task queue for T1 and T2 of FY15. We are currently engaged in the budgeting exercise to identify resources for FY15. The ability to deliver this product will be dependent on the successful budget requests. | <ul style="list-style-type: none"> <li>• Define scope - The cost of maintaining the database will depend on several factors including the size and complexity of the database and integration with existing data, such as the GAC membership list. To constrain costs a suggested model would include a bi-annual review of the GAC membership list and an annual validation of the mailing list using a mail and bounce system.</li> <li>• Develop detailed requirements; assign responsibilities</li> <li>• Identify tool/resource</li> <li>• Conduct development, testing, refinement.</li> <li>• Pilot, refine</li> <li>• Implement and set up an ongoing maintenance process</li> </ul> |
|      | GSE has developed a series of Key Success Factors (KSF) and Key Progress Indicators (KPI) to demonstrate the objectives and goals developed through the planning process. These KPIs will be available to the global community through Executive Dashboards.  |     |     |   |     |   |  |
|      | <b>MULTILINGUALISM</b>  |     |     |   |     |   |  |
| 8    | 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. | Yes | Yes | 3 | TBD |   | <ul style="list-style-type: none"> <li>• Hire a consultant to carry out full analysis of ICANN's language services department and assess the community's "needs". This consultant will also survey other translation and localization departments, including the UN and give recommendation on a model that would work for ICANN's growing language services needs (FY15)</li> <li>• Work on define KPIs for the service</li> </ul>  |

## ATRT2 RECOMMENDATIONS AND IMPLEMENTATION DETAILED ANALYSIS

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|      | The work of Language Services has many dependencies. It falls in the middle of a series of events, including Content creation in English, Transmission of translated or interpreted content. Staff intends to work more closely with departments to insure their content and edits are submitted in a timely manner in order to secure timely return of translated materials. Staff also intends to hire a web admin specialist who will secure the posting of translated material in a timely manner.  |     |    |   |     |  |
|      | <b>AOC REVIEW PROCESS EFFECTIVENESS</b>   |     |    |   |     |  |
| 11.2 | <p>11.2 - Coordination of Reviews:</p> <p>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.</p>  | Yes | No | 2 | TBD |  |
|      | <p>The way forward to implement this recommendation is not clear and requires further review and analysis by staff and consideration by the Board, to determine if the recommendation is implementable and if so, how it should be implemented.</p> <p>In order to adopt and implement this recommendation, the AoC mandate of the three-year cycle may need to be reconsidered. As the AoC is an agreement between ICANN and the Department of Commerce, modifications to the AoC can only be achieved by the agreement of both parties.</p> <p>An alternative may be to consider ways that the scope of work of subsequent review teams is streamlined and focused in a way to make shorter and more focused and efficient reviews</p> <p>An alternative may be to consider ways that the scope of work of subsequent review teams is streamlined and focused in a way to make shorter and more focused and efficient reviews.</p> <p>The AoC reviews are on a continuous cycle, which contributes to the difficulty of ensuring that all independent, community reviews are complete before the next ATRT review begins, which would have to begin on January 1, 2016 under the current schedule. Please reference Recommendation 11.3, which suggests that the work of each Review Team should be scheduled for a minimum of one year. To have all reviews completed before the next ATRT will not be feasible (see AoC Review Timeline below).</p> <p>Challenges to implementation of this recommendation include:</p> <ul style="list-style-type: none"> <li>o the three-year review cycles plus six months for public comment and Board action;</li> <li>o no limitations on the length of the review teams' work;</li> <li>o three – and soon four – separate reviews (Accountability and Transparency; SSR; WHOIS and Consumer Trust, Choice and Competition);</li> <li>o the independent nature of each community review team and the complex topics under review;</li> <li>o the absence of authority to strictly coordinate review processes; and</li> <li>o implementation work associated with certain recommendations requires considerably longer time frames than can be addressed in the current review cycle.</li> </ul> |     |    |   |     |  |
| 11.3 | <p>11.3 Appointment of Review Teams:</p> <p>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</p>  | Yes | No | 2 | TBD |  |

## ATRT2 RECOMMENDATIONS AND IMPLEMENTATION DETAILED ANALYSIS

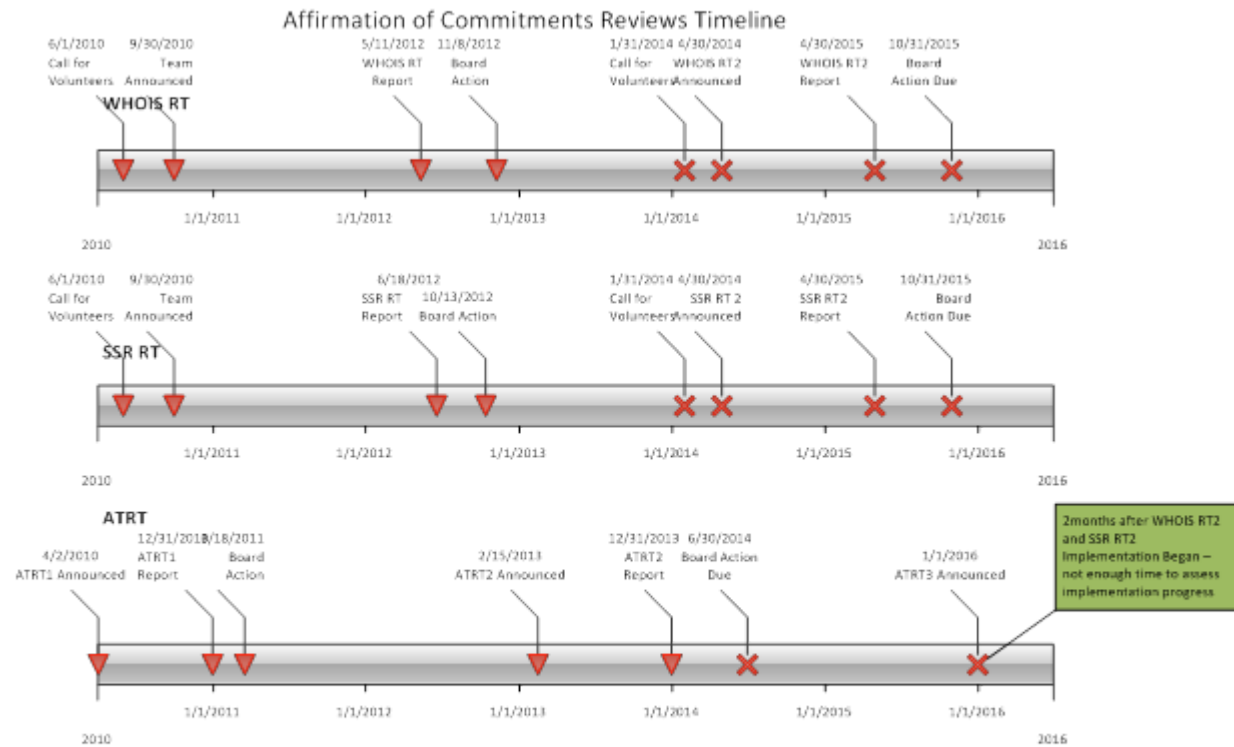
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|      | begin at the earliest point in time possible given its mandate.   |     |    |   |     |  |  |
|      | <p>According to the AoC prescriptions, reviews of ICANN’s Accountability &amp; Transparency commitments should be executed no less frequently than every three years, and the Board has up to six months to act upon each completed review. The timeline recommended by the ATRT2 would significantly reduce time available to effectively implement recommendations and to assess improvements arising out of the previous effort. It is important that a time frame be established to ensure effective implementation and evaluation. While acknowledging that the ATRT2 would benefit from additional time to conduct their mandate, consideration should be given to the implementation and overall assessment timeline.</p> <p>The three-year review cycle translates into a total of 36 months:</p> <ul style="list-style-type: none"> <li>○ Board review of final recommendations and decision on implementation - six months</li> <li>○ Call for volunteers, SO/AC endorsement processes, selection of Review Team members and organizational/meeting activities – four to six months</li> <li>○ Review team work - 12 months</li> <li>○ Implementation and assessment work - 12 months -18 months (remainder from the available 36 months). This may not be sufficient given complexity of implementation and overall activities within the ICANN community.</li> </ul> <p>See Affirmation of Commitments Review Timeline below.</p> |     |    |   |     |  |  |
|      | <b>FINANCIAL ACCOUNTABILITY AND TRANSPARENCY</b>  |     |    |   |     |  |  |
| 12.1 | <p>12. In light of the significant growth in the organization, the Board should undertake a special scrutiny of its financial governance structure regarding its overall principles, methods applied and decision-making procedures, to include engaging stakeholders.</p> <p>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.</p>   | Yes | No | 2 | TBD |  | <p>Current plans include:</p> <ul style="list-style-type: none"> <li>• Establishment of a planning process and cycle, including strategic goals and objectives for five years; a five-year plan, an annual operating plan and budget.</li> <li>• Community input throughout all phases of strategic planning (<a href="http://www.icann.org/sites/default/files/assets/strategy-planning-timeline-1667x833-05mar14-en.png">http://www.icann.org/sites/default/files/assets/strategy-planning-timeline-1667x833-05mar14-en.png</a>).</li> <li>• Community input and engagement during the early part of the annual operating planning cycle (which will include an update to the 5-year plan and forecast based on actual results), in addition to the exiting formal comment period.</li> <li>• Analysis of actual results as compared to plan/budget (variance analysis).</li> <li>• Consideration of appropriate mechanisms to accommodate SO/AC recurring vs. special requests, balanced with the need for fiscal diligence and control.</li> </ul> |
|      | <p>Since it is not the role of the Board to plan and prioritize the work of the organization, but the role of the CEO, this recommendation is understood to be relative to implementing procedures and processes that enable the Board to ensure that the ICANN community, including all SOs and ACs, can participate in the planning and prioritizing of the organization. Staff will seek clarification on whether the above understanding is correct.</p> <p>As ICANN (community and staff) is developing a new planning process, initiated through the development of a 5-year strategic plan, the staff is focused on ensuring that the planning process includes in its design to allow this effective participation.</p> <p>Consultation of the community and the ATRT2 team members interested will be undertaken to establish clearly defined requirements for community participation (“what are trying to achieve? What are</p>  |     |    |   |     |  |  |

**ATRT2 RECOMMENDATIONS AND IMPLEMENTATION  
DETAILED ANALYSIS**

|      |   |     |    |           |     |  |
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|      | the roles of Community/Staff/Board?") in order to design, validate and implement suggested processes to improve and enhance participation. Staff does not believe that new financial procedures, on their own, can achieve the objective as formulated by the recommendation 12.1. The planning and prioritization of the work is an operational process that involves operational decision making in which financial implications are only some of many parameters.                  |     |    |           |     |  |
| 12.2 | 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. | Yes | No | 2         | TBD |  |
|      | Staff will make itself available to participate as appropriate to the separate consultation referred to in the recommendation. As previously indicated, ICANN is transitioning to a process where high level Strategic Planning (Vision, Mission and Focus Areas), guides measurable organizational goals and the development of the Operating Plan and Budget.   |     |    |           |     |  |
|      | <b>TOTAL COMPONENTS PENDING ADDITIONAL WORK</b>   |     |    | <b>18</b> |     |  |



# ATRT2 RECOMMENDATIONS AND IMPLEMENTATION DETAILED ANALYSIS



## ATRT2 RECOMMENDATIONS AND IMPLEMENTATION SCORECARD

Date: 21 March 2014

### SUMMARY SCORECARD - PROGRESS

|   | Number    | %           |
|---|-----------|-------------|
| Step 1: seek clarification from ATRT2     | 3         | 6%          |
| Step 2: determine feasibility             | 6         | 12%         |
| Step 3: determine resources and ownership | 9         | 18%         |
| Step 4: staff made recommendation         | 33        | 65%         |
| <b>Total</b>                              | <b>51</b> | <b>100%</b> |

### SUMMARY SCORECARD – STAFF RECOMMENDATION

|                                | Number    | %           |
|--------------------------------|-----------|-------------|
| 1a: adopt without modification | 26        | 79%         |
| 1b: adopt with modification    | 7         | 21%         |
| 2: reject                      | -         | -           |
| <b>Total</b>                   | <b>33</b> | <b>100%</b> |

**LEGEND:**

**Staff Input:**

- 1a – adopt w/out modification
- 1b – adopt with modification
- 2 – reject

**Steps – current status as of 17 March:**

- 
- Staff
- 1. Assessment of clarity – return to ATRT2 if needed.
  - 2. Assessment of feasibility – engage with ATRT2 if not feasible.
  - 3. Assessment of resources required, time required, and organizational home if we decide to accept and implement.
  - 4. Staff input/recommendation.
- Board
- 5. Board committee review
  - 6. Board discussion / decision by 30 June 2014
  - 7. Implementation and regular reporting.
  - 8. Check on completion.

## PART I – BOARD ACTION

|       | ATRT2 Recommendations  | Step | Staff Input | Board Action | Explanation, Work Schedule & Key Deliverables   | Implementation Assignments (if will be implemented)  |
|-------|--|------|-------------|--------------|---|--|
|       | <b>BOARD PERFORMANCE AND WORK PRACTICES</b>  |      |             |              |   |  |
| 1.    | 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. | 4    | 1b          |              | <ul style="list-style-type: none"> <li>• This Recommendation will be on the BGC agenda for discussion in Singapore.</li> <li>• Measuring “quality of ICANN Board members” is a difficult task at best without some more information. Measuring more objective things, such as attendance, etc. is something that can be put into place. It will take some time, including with input from One World Trust, to identify the proper level of metrics, including for measuring the “success of Board improvements efforts” so long as the Board is able to identify a base line as well as what efforts are “Board improvement” efforts.</li> <li>• Proposed step in lieu of this recommendation: conduct a survey of each Board member’s skillset and quantify number of Board members who say they have each skill.</li> </ul> | <ul style="list-style-type: none"> <li>• Board/BGC</li> <li>• Staff: Board Support, Legal</li> </ul> |
| 2 (b) | publish the materials used for training to gauge levels of improvement. – ICANN materials  | 4    | 1a          |              | <ul style="list-style-type: none"> <li>• Assess current ICANN created Board training materials (6 months);</li> <li>• Compile already published materials into one location in conjunction with ICANN university and other related activities (2 months);</li> <li>• Formulate non-public Board training materials into publishable format (3 months);</li> <li>• Include publication of ICANN related Board training materials into standard operating procedure upon completion of preceding milestones.</li> </ul>   | <ul style="list-style-type: none"> <li>• Staff: Board Support, Legal</li> </ul>                      |
| 2 (c) | publish the materials used for training to gauge levels of improvement. – Third party materials  | 4    | 1b          |              | <ul style="list-style-type: none"> <li>• Third party training materials are proprietary materials that ICANN does not have the right to publish. In lieu of publishing the actual training materials, staff proposes to modify the recommendation to publish a listing and a description of the third party materials.</li> </ul>   | <ul style="list-style-type: none"> <li>• Staff: Board Support, Legal</li> </ul>                      |
| 3 (b) | and should regularly assess Director's compensation levels against prevailing standards.   | 4    | 1a          |              | <ul style="list-style-type: none"> <li>• This is already part of standard operating procedures (generally every two years or so). And, since it is an ongoing item, there is not a date or time needed to develop anything new. We are in the final stages of the most recent assessment. At today’s rates, each assessment could cost between US\$20,000 and US\$30,000.</li> </ul>  | <ul style="list-style-type: none"> <li>• Board/BGC</li> <li>• Staff: Board Support, Legal</li> </ul> |

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|     | <b>POLICY/ IMPLEMENTATION/ EXECUTIVE FUNCTION DISTINCTION</b>   |   |    |  |   |  |
| 4   | 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. | 4 | 1a |  | <ul style="list-style-type: none"> <li>• Work is actively under way in the GNSO where a working group has been formed to develop recommendations in relation to a set of principles that would underpin any GNSO policy implementation related discussions.</li> <li>• The work plan and expected milestones for this activity can be found at <a href="https://community.icann.org/x/rC_fAg">https://community.icann.org/x/rC_fAg</a>. Target is to publish the initial report by ICANN 51 in Los Angeles.</li> <li>• In implementing this recommendation, the Board may want to recognize this activity and note that it would like to review the outcome of this effort first before deciding what additional work may need to be undertaken to address this recommendation.</li> <li>• Resources depend on what the effort involves, but this may not require any additional support than what the policy team is already providing in this ongoing community wide effort.</li> </ul> | <ul style="list-style-type: none"> <li>• Board/BGC</li> <li>• Staff: Policy</li> </ul> |
|     | <b>DECISION MAKING TRANSPARENCY AND APPEALS PROCESSES</b>   |   |    |  |   |  |
| 5   | 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.  | 4 | 1a |  | <ul style="list-style-type: none"> <li>• Creation and posting of non-disclosure/redaction guidelines covering all aspects of Board and Staff publications, including new section on reviewing previously redacted materials (compiling from various existing procedures) (3 months)</li> <li>• Ensure review of previously redacted materials is part of standard operating procedure.</li> </ul>   | <ul style="list-style-type: none"> <li>• Staff: Legal</li> </ul>                       |
| 7.1 | 7. Public Comment Process<br>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.  | 4 | 1a |  | <ul style="list-style-type: none"> <li>• Phase I: Short-Term Actions/Improvements - Staff intends to complete an outline of Phase I improvement tasks/activities before the London Public Meeting –including the possibility of conducting a Community survey (or Focus Group) to gather additional feedback on earlier improvements that could not be quantified/qualified by studying the Forums themselves.</li> <li>• As part of separately orchestrated re-engineering effort inspired by the ICANN Labs initiative, some immediate design changes are already being made to the ICANN Public Comments pages on ICANN.org. Any potential survey work will likely be coordinated with an assessment of the success of the impending web site changes.</li> <li>• Phase II: Longer-Term Actions/Improvements - Following completion of the initial short-term actions/improvements, Phase II plans and</li> </ul>  | <ul style="list-style-type: none"> <li>• Staff: Policy</li> </ul>                      |

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|      |  |   |    |  | specifications will depend upon the outcomes of any data collection conducted as part of the Phase I research and feedback.  |                               |
| 7.2  | 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)  | 4 | 1a |  | See 7 (a)  | • Staff: Policy               |
| 9.3  | 9.3. Review Ombudsman Role:<br><br>The Board should review the Ombudsman role as defined in the bylaws to determine whether it is still appropriate as defined, or whether it needs to be expanded or otherwise revised to help deal with the issues such as:<br>a. A role in the continued process of review and reporting on Board and staff transparency.<br>b. A role in helping employees deal with issues related to the public policy functions of ICANN, including policy, implementation and administration related to policy and operational matters.<br>c. A role in fair treatment of ICANN Anonymous Hotline users and other whistleblowers, and the protection of employees who decide there is a need to raise an issue that might be problematic for their continued employment. | 4 | 1a |  | The milestones will include the following, totaling up to one year:<br>• Locate and engage an expert to review the Ombudsman’s current and appropriate scope for the organization and community (up to 6 months);<br>• Expert to conduct the review and issue a draft report (possibly) for public comment and staff to draft and post suggested Bylaws revisions for public comment with the draft report (up to 4 to 5 months);<br>• Summarize and analyze public comment and make any necessary changes to the recommendations and proposed Bylaws revisions, if applicable (up to 6 weeks);<br>• Board adoption and implementation of approved Bylaws revisions, if any (up to 3 months, depending on the nature of recommendations).<br>• Consider whether any suggested changes should be instituted with current ombudsman or whether we should wait until current ombudsman’s terms is concluded, as current ombudsman might not have the requisite skillset to address potential changes. | • Board/BGC<br>• Staff: Legal |
| 9.4a | 9.4. Develop Transparency Metrics and Reporting:<br><br>The Board should ensure that as part of its yearly report, ICANN include, among other things, but not be limited to:<br>a. A report on the broad range of Transparency issues with supporting metrics to facilitate accountability.  | 4 | 1a |  | • Implementation of actions resulting from the One World Trust Report on Accountability Framework, Metrics and Benchmarks ( <a href="#">link to Announcement and next steps</a> )  | • Board/BGC<br>• Staff: Legal |
| 9.4c | c. Statistical reporting to include at least the following elements:<br>i. requests of the Documentary Information Disclosure  | 4 | 1a |  | • As to (i) (this is already being done – see <a href="http://www.icann.org/en/groups/board/reconsideration/bgc-accountability-mechanisms-21nov13-en.pdf">http://www.icann.org/en/groups/board/reconsideration/bgc-accountability-mechanisms-21nov13-en.pdf</a> ), • (i)i, and (iii) will not  | • Board/BGC<br>• Staff: Legal |

|      |  |   |    |  |   |   |
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|      | <p>Policy (DIDP) process and the disposition of requests.</p> <p>ii. percentage of redacted-to-unredacted Board briefing materials released to the general public.</p> <p>iii. number and nature of issues that the Board determined should be treated confidentially.</p> <p>iv. other ICANN usage of redaction and other methods to not disclose information to the community and statistics on reasons given for usage of such methods.</p>   |   |    |  | <p>require other personnel or financial resources as once in place, it will be made part of normal tracking.</p> <ul style="list-style-type: none"> <li>• As for (iv) – this is a bit vague, but can be addressed in some way.</li> <li>• Milestone is reporting in an annual report and each year after that.</li> <li>• Crosscheck with One World Trust Accountability metrics implementation. If metrics are adopted, this will be part of standard operating procedure.</li> </ul>  |   |
| 9.4d | <p>d. A section on employee “Anonymous Hotline” and/or other whistleblowing activity, to include metrics on:</p> <p>i. Reports submitted.</p> <p>ii. Reports verified as containing issues requiring action.</p> <p>iii. Reports that resulted in change to ICANN practices.</p>   | 4 | 1a |  | <ul style="list-style-type: none"> <li>• This is implementable to the extent it is subject to maintaining the privacy and confidentiality of the reporter.</li> <li>• Milestone is simply reporting in an annual report and each year after that.</li> </ul>  | <ul style="list-style-type: none"> <li>• Board/BGC</li> <li>• Staff: Legal</li> </ul> |
| 9.4e | <p>e. An analysis of the continued relevance and usefulness of existing transparency metrics, including</p> <p>i. Considerations on whether activities are being geared toward the metrics (i.e. “teaching to the test”) without contributing toward the goal of genuine transparency.</p> <p>ii. Recommendations for new metrics.</p>   | 4 | 1b |  | <ul style="list-style-type: none"> <li>• See implementation of Accountability Framework and Metrics, recommended by One World Trust</li> <li>• Analysis of continued relevance and usefulness to take place after the accountability metrics have been implemented, gathered, analyzed and reported for a sufficient period of time.</li> </ul>   | <ul style="list-style-type: none"> <li>• Board/BGC</li> <li>• Staff: Legal</li> </ul> |
| 9.5  | <p>9.5. The Board should arrange an audit to determine the viability of the ICANN Anonymous Hotline as a whistleblowing mechanism and implement any necessary improvements.</p> <p>The professional external audit should be based on the Section 7.1 and Appendix 5 - Whistleblower Policy of the One World Trust Independent Review of 2007 recommendations to establish a viable whistleblower program, including protections for employees who use such a program, and any recent developments in areas of support and protection for the whistleblower. The professional audit should be done on a recurring basis, with the period (annual or bi-annual, for example) determined upon recommendation by the professional audit.</p> <p>The processes for ICANN employee transparency and whistleblowing should be made public.</p> | 4 | 1b |  | <p>This recommendation is implementable to the extent that “audit” is considered a “review.” The milestones will include the following and take up to 4-6 months:</p> <ul style="list-style-type: none"> <li>• Engage the entity to conduct the review;</li> <li>• Conduct the review;</li> <li>• Make recommendations on revisions, if any, to the Anonymous Hotline Policy; and</li> <li>• Implement recommended changes to the extent they are legally viable for each of ICANN’s locations.</li> </ul> <p>While the concept of getting an external validation of the Anonymous Hotline program is supportable, the state of the art on these items tends not to change as rapidly as the recommendation suggests. Once a program to review the policy is in place, a tri-annual review cycle may represent a better use of resources while still assuring that the policy meets best practices.</p> | <ul style="list-style-type: none"> <li>• Board/BGC</li> <li>• Staff: Legal</li> </ul> |
|      | <b>GAC OPERATIONS AND INTERACTIONS</b>   |   |    |  |   |   |

|       |   |   |    |  |  |   |
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| 6.8   | 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. | 4 | 1a |  | <ul style="list-style-type: none"> <li>• The GSE currently provides the GAC leadership with monthly reports showing the previous months activity and the anticipated upcoming month's engagement activity involving governments (not just GAC members) so that they have awareness of the government specific engagement activity – this was instituted at the request of the GAC.</li> <li>• GSE can work with the BGRI to identify additional mechanisms for coordination.</li> </ul>  | <ul style="list-style-type: none"> <li>• BGRI</li> <li>• Staff: GSE; Policy</li> </ul>  |
| 6.9b  | 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);   | 4 | 1a |  |  | <ul style="list-style-type: none"> <li>• Board</li> <li>• Staff: GSE; Policy</li> </ul> |
| 6.9c  | c. Making ICANN's work relevant for stakeholders in those parts of the world with limited participation; and,   | 4 | 1a |  | <ul style="list-style-type: none"> <li>• Regional VPs working with multistakeholder community committees are developing regional strategic engagement plans driven by the community priorities. Thus far Africa, Latin-American and the Caribbean, and the Middle East have community developed engagement strategies that have progressed to implementation phase. These regions have developed and implemented projects and completed regional prioritization exercises to determine the order of work. These projects will run throughout FY14 and plans are underway for which projects will be prioritized and budgeted for FY15.</li> <li>• The Asia region (and sub-regional planning for API) strategies planning are underway and will be described at the ICANN 49 Singapore meeting. Engagement activities will continue to be rolled out through T3 FY14. It is expected that they will move to full implementation in T1 FY15.</li> <li>• The European community is still in a more preliminary phase of planning and discussion but will conduct another working session in Singapore with a target presentation of the engagement framework at the London meeting. Project design would then begin in T1 FY15.</li> <li>• The plans for each region ensure that efforts reflect the communities' interests and priorities and address issues of access as identified and prioritized by the community (whether that is gTLD related or not).</li> </ul> | <ul style="list-style-type: none"> <li>• Board</li> <li>• Staff: GSE; Policy</li> </ul> |
| 6.9d  | 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 gTLD's.   | 4 | 1a |  | See item 6 (l)   | <ul style="list-style-type: none"> <li>• Board</li> <li>• Staff: GSE; Policy</li> </ul> |
|       | <b>CROSS-COMMUNITY DELIBERATIONS</b>  |   |    |  |  |   |
| 10.1a | 10. The Board should improve the effectiveness of cross-  | 4 | 1a |  | <ul style="list-style-type: none"> <li>• As part of its efforts to continually improve and enhance its policy</li> </ul>   | <ul style="list-style-type: none"> <li>• Staff: Policy</li> </ul>                       |



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|       | <p>community deliberations.</p> <p>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:</p> <p>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.</p> |   |    |  | <p>development activities, the GNSO is already actively working on a number of improvements to enhance and streamline the GNSO Policy Development process such as exploring the option of face-to-face PDP WG meetings, professional services to support policy development activities as well as activities to facilitate the recruitment and integration of new WG volunteers. For further details on the latest status, please see <a href="http://gns0.icann.org/en/drafts/pdp-improvements-table-16jan14-en.pdf">http://gns0.icann.org/en/drafts/pdp-improvements-table-16jan14-en.pdf</a>.</p> <ul style="list-style-type: none"> <li>• Implementation of several of the proposed improvements is already actively underway – some may be initially implemented as pilot projects to determine their effectiveness (for example, funding is expected to be requested under the FY15 Community Special Budget Requests to develop a pilot project on facilitated F2F PDP WG meetings).</li> <li>• The GNSO Council formed a small committee of interested Council members to work with staff on implementing the proposed improvements.</li> <li>• Status updates will be provided to the GNSO and the broader community on an ongoing basis.</li> <li>• The GNSO Council has also requested that formal updates will be provided during its F2F meetings at ICANN meetings - the next one is to be scheduled for London.</li> </ul> |   |
| 10.1b | <p>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.</p>                 | 4 | 1a |  | See 10 (a)  | <ul style="list-style-type: none"> <li>• Staff: Policy</li> </ul> |
| 10.1c | <p>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</p>  | 4 | 1a |  | See 10 (a)  | <ul style="list-style-type: none"> <li>• Staff: Policy</li> </ul> |

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|      | ability to attract busy community participants into the process and also resulting in quicker policy development.  |   |    |  |  |   |
| 10.2 | 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. | 4 | 1a |  | <ul style="list-style-type: none"> <li>• The GAC and GNSO jointly launched a Consultation Group on Early Engagement which is the result of discussions between the two entities at the ICANN meeting in Buenos Aires as well as previous ICANN meetings, to explore and enhance ways of early engagement in relation to GNSO policy development activities.</li> <li>• The Consultation Group has adopted a charter outlining its objectives (see <a href="http://mm.icann.org/pipermail/gac-gnsocg/attachments/20140212/c6e3f7b6/GAC-GNSO-final-0001.pdf">http://mm.icann.org/pipermail/gac-gnsocg/attachments/20140212/c6e3f7b6/GAC-GNSO-final-0001.pdf</a>) and is expected to focus on two strands of work: 1) day to day co-ordination between the GNSO and GAC, 2) GAC early engagement in the GNSO PDP.</li> <li>• Work is already under way in the Consultation Group, which is meeting every two weeks. Proposed solutions are expected to be presented to the GNSO and GAC by the end of FY14.</li> <li>• Implementation may take the form of pilots steps from then, some pilot activity may start earlier (such as, for example a GNSO liaison to the GAC).</li> <li>• For further information, please see the mailing list archives at <a href="http://mm.icann.org/pipermail/gac-gnsocg/attachments/20140212/c6e3f7b6/GAC-GNSO-final-0001.pdf">http://mm.icann.org/pipermail/gac-gnsocg/attachments/20140212/c6e3f7b6/GAC-GNSO-final-0001.pdf</a>.</li> <li>• A status update is expected to be provided during the next GNSO-GAC joint meeting in Singapore.</li> </ul> | <ul style="list-style-type: none"> <li>• BGRI</li> <li>• Staff: Policy</li> </ul> |
| 10.3 | 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: <ul style="list-style-type: none"> <li>a. All ICANN communities with an interest in gTLD policy and in particular, those represented within the GNSO;</li> <li>b. Under-represented geographical regions;</li> <li>c. Non-English speaking linguistic groups;</li> </ul>                    | 4 | 1a |  | <ul style="list-style-type: none"> <li>• The proposed implementation of this recommendation includes the review of existing outreach efforts and determination whether there are any actions the GNSO Council should be taking to increase the pool of PDP volunteers.</li> <li>• The GNSO Council formed a small committee of interested Council members to work with staff on implementing the proposed improvements.</li> <li>• Status updates will be provided to the GNSO and the broader community on an ongoing basis.</li> <li>• The GNSO Council has also requested that formal updates will be provided during its F2F meetings at ICANN meetings - the next one is to be scheduled for London.</li> <li>• Furthermore the Community Regional Outreach Pilot (CROP),</li> </ul>  | <ul style="list-style-type: none"> <li>• Staff: Policy</li> </ul>                 |

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|      | <p>d. Those with non-Western cultural traditions; and</p> <p>e. Those with a vital interest in gTLD policy issues but who lack the financial support of industry players.</p>  |   |    | <p>launched in 2013, is a community regional outreach trip program to be made available to regional At-Large organizations and non-contract GNSO constituencies, as a programmed approach to building local/regional awareness and recruitment of new community members; ore effectively engaging with current members and/or "reactivating" previously engaged ICANN community members; and communicating ICANN's mission and objectives to new audiences.</p> <p>In implementing this ATRT2 recommendation, however, the ICANN Board may also want to review broader outreach and engagement activities that may not specifically relate to the GNSO, but which do focus on engaging currently under-represented groups within ICANN to determine whether there any additional activities need to be undertaken in order to meet this recommendation.</p>   |   |
| 10.4 | <p>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.</p> | 4 | 1a | <ul style="list-style-type: none"> <li>• The ICANN Board with the assistance of ICANN Legal could develop a statement to clarify that the ICANN Board does not develop policy. Rather, if implementable, ICANN Board generally approves policy recommendations developed by the SOs, and the ICANN staff generally is in the position of implementing the approved policy(ies). In the absence of a policy, the Board will set a process or procedure to the extent one is needed in order to conduct business. Such a process or procedure would of course be subject to modification if one of the SOs later develops a policy on the same topic. It would not be prudent to predict the future revision of Board-approved policy recommendations, but the same sentiment as in the first sentence applies in that it is not the Board's role to develop policy.</li> </ul>                             | <ul style="list-style-type: none"> <li>• BGC</li> <li>• Staff: Policy, Legal</li> </ul> |
| 10.5 | <p>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.</p>   | 4 | 1a | <p>Numerous activities are underway and will be ongoing in order to facilitate equitable participation in applicable ICANN activities:</p> <ul style="list-style-type: none"> <li>• Increase in the level of travel support for non-contracted parties via the Special Budget Request for FY 2014.</li> <li>• ICANN has been working on expanding and improving its remote participation facilities in order to improve access across the board. One example is <a href="#">ICANN Labs</a>, working to increase digital engagement with special focus on newcomers to the ICANN community, by making it easier to move from general awareness to a full and active membership. The digital platforms that emerge from ICANN Labs will help deliver information to bigger and more geographically spread groups and will lead towards a reconceptualization of ICANN.org. This will broaden and</li> </ul> | <ul style="list-style-type: none"> <li>• Staff: Policy</li> </ul>                       |

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|      |  |   |    |  | <p>deepen ICANN’s engagement with existing and new stakeholders from around the world.</p> <ul style="list-style-type: none"> <li>• <a href="#">Fellowship program</a> has been designed to create a broader and more regionally diverse base of knowledgeable constituents by reaching out to the less developed regions of the world to build capacity within the ICANN Multistakeholder Model.</li> <li>• <a href="#">Community Regional Outreach Pilot</a> (CROP), launched in 2013 as a community regional outreach trip program to be made available to regional At-Large organizations and non-contract GNSO constituencies, as a programmed approach to building local/regional awareness and recruitment of new community members; ore effectively engaging with current members and/or "reactivating" previously engaged ICANN community members; and communicating ICANN’s mission and objectives to new audiences.</li> </ul>   |                                |
|      | <b>AOC REVIEW PROCESS EFFECTIVENESS</b>  |   |    |  |   |                                |
| 11.1 | <p>11. Effectiveness of the Review Process:</p> <p>11.1 - Institutionalization of the Review Process:<br/>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.</p> | 4 | 1a |  | <ul style="list-style-type: none"> <li>• ATRT2 recommendations will be considered in the Strategic Planning process – currently underway</li> <li>• Implementation of ATRT2 recommendations designated as a strategic priority.</li> </ul>  | • Staff: Strategic Initiatives |
| 11.4 | <p>11.4 Complete implementation reports:</p> <p>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.</p>           | 4 | 1b |  | <ul style="list-style-type: none"> <li>• Annual implementation reports currently are issued before review kick-off, and benchmarks and metrics arising out of the organizational Accountability Benchmarks and Metrics project will be incorporated in future reports. Recommend acknowledging these ongoing activities.</li> <li>• In order to provide the review team with the most up-to-date information, staff suggests that the public consultation component be a part of the review team's process, as it has been in the past.</li> <li>• Depending on the timing of the given review, a "complete" implementation report may not be feasible as the implementation work may be ongoing.</li> <li>• Given the wide array of opinions within this and other Review Teams regarding format and substance of staff reports on implementation, staff will develop a standardized approach to annual implementation reports.</li> <li>• Annual implementation reports for recommendations from all AoC reviews (WHOIS, SSR and ATRT) will be published prior to ICANN 49</li> </ul> | • Staff: Strategic Initiatives |

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|      |   |   |    |  | Singapore. There are in excess of 70 recommendations subject to this reporting (WHOIS - 16; SSR - 28; ATRT1 – 27).   |   |
| 11.5 | <p>11.5 Budget transparency and accountability:</p> <p>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.</p> | 4 | 1a |  | <ul style="list-style-type: none"> <li>Each Review Team will be provided with a budget for travel and professional services at the beginning of the given review (noting that review team schedules often straddle multiple budget cycles), along with the rationale for the amount allocated.</li> </ul>  | <ul style="list-style-type: none"> <li>Staff: Strategic Initiatives, Finance</li> </ul>       |
| 11.6 | <p>11.6 Board action on Recommendations:</p> <p>The Board should address all AoC Review Team recommendations in a clear and unambiguous manner, indicating to what extent they are accepting each recommendation.</p>   | 4 | 1a |  | <ul style="list-style-type: none"> <li>The Board will address all AoC Review Team recommendations in a clear and unambiguous manner, indicating to what extent they are accepting each recommendation.</li> <li>This will be applicable to the Board’s response to ATRT2 recommendations, which will be provided by 30 June 2014, as mandated by the AoC.</li> </ul>   | <ul style="list-style-type: none"> <li>Board</li> <li>Staff: Strategic Initiatives</li> </ul> |
| 11.7 | <p>11.7 Implementation Timeframes:</p> <p>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.</p>   | 4 | 1b |  | <ul style="list-style-type: none"> <li>The Board will 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.</li> <li>This will be applicable to the Board’s response to ATRT2 recommendations, which will be provided by 30 June 2014, as mandated by the AoC.</li> <li>Recommend acknowledging that ATRT2 worked collaboratively with the Board, community and staff to determine feasibility and implementability of the recommendations prior to issuing final recommendations. This collaborative approach should be expanded and adopted by all AoC review teams.</li> <li>ATRT2 considered prioritization of the recommendations, but ultimately decided that prioritization should be considered and addressed by the Board based on community and staff resources, noting that “ATRT2 believes that these Recommendations are important and, to the extent accepted by the Board, should be treated as a strategic</li> </ul> | <ul style="list-style-type: none"> <li>Board</li> <li>Staff: Strategic Initiatives</li> </ul> |

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|      |   |   |    |  | <p>priority.”</p> <p>--Staff recommends that a “holistic” consideration of community and staff resources be undertaken from an enterprise-wide perspective to align implementation plans with strategic initiatives and resources.</p> <p>--In instances where implementation work fits into a continuous improvement category, it’s important to note that while milestones and goals should be set and performance measured against such, completion of implementation would not be a relevant measure for the next Review Team to consider when analyzing implementation progress.</p> <p>--Driven by the 3-year Review Cycle it may be advisable to undertake recommendations where implementation can be reasonably estimated to be completed within 12-18 months. Stated differently, the Board should consider dividing implementation efforts into logical phases and focusing on the successful implementation of initial phases within the next review cycle.</p> |  |
|      | <b>FINANCIAL ACCOUNTABILITY AND TRANSPARENCY</b>  |   |    |  |   |  |
| 12.3 | 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.      | 4 | 1b |  | <p>Staff agrees that benchmarking the organization is a useful practice.</p> <ul style="list-style-type: none"> <li>• As staff is developing a plan to implement metrics/KPIs across the organization, it is suggested to include in this plan a phase to identify implemented metrics/KPIs that can be benchmarked, once a base line is available.</li> <li>• Milestones for the implementation can be provided once the overall plan, including benchmarking, is designed.</li> </ul>   | <ul style="list-style-type: none"> <li>• Staff: Finance</li> </ul> |
| 12.4 | 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 | 4 | 1a |  | <ul style="list-style-type: none"> <li>• Staff has initiated the development of a strategic plan over a 5-year period (exceeding the 3-year period recommended).</li> <li>• The strategic plan is anticipated to include high level financial information by year that will provide the financial impact of the plan over 5 years. The objectives and financial information of the first year of the 5-year plan would be the starting point for the development of the annual operating plan and budget development process.</li> <li>• The current plan is to finalize the 5-year strategic plan by the end of the FY14, and use it as a basis to develop the FY16 Operating plan and Budget.</li> </ul>  | <ul style="list-style-type: none"> <li>• Staff: Finance</li> </ul> |

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|      | implementation of the (yearly) budget. The financial report shall be subject to public consultation.  |           |    |  |   |                  |
| 12.5 | 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 between the Board and the Supporting Organizations and Advisory Committees to discuss the proposed budget. | 4         | 1a |  | Staff will include the corresponding requirements in the design of the planning process (including the strategic plan, the operating plan and Budget) for FY16. If certain process changes defined can be implemented for the FY15 process, staff will include them. Please also refer to Staff's answer on 12 (a). | • Staff: Finance |
|      | <b>TOTAL COMPONENTS READT FOR BOARD ACTION</b>  | <b>33</b> |    |  |   |                  |

**PART II – PENDING ADDITIONAL WORK**

|       | <b>ATRT2 Recommendations</b>  | <b>Step</b> | <b>Staff Input</b> | <b>Board Action</b> | <b>Explanation, Work Schedule &amp; Key Deliverables</b>   | <b>Implementation Assignments (if will be implemented)</b>   |
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|       | <b>BOARD PERFORMANCE AND WORK PRACTICES</b>   |             |                    |                     |  |  |
| 2 (a) | 2.The Board should develop metrics to measure the effectiveness of the Board’s functioning and improvement efforts, and   | 1           | TBD                |                     | <ul style="list-style-type: none"> <li>• ATRT2 recommendation is not clear, or the way forward to implement ATRT2 recommendation is not clear and requires further review and analysis to determine if the recommendation is implementable and if so, how it should be implemented.</li> <li>• See Recommendation #1.</li> </ul>                                     | <ul style="list-style-type: none"> <li>• Board/BGC</li> <li>• Staff: Board Support, Legal</li> </ul>                         |
| 3 (a) | 3. The Board should conduct qualitative/quantitative studies to determine how the qualifications of Board candidate pools change over time,   | 1           | TBD                |                     | <ul style="list-style-type: none"> <li>• This Recommendation will be on the BGC agenda for discussion in Singapore.</li> <li>• The recommendation is not currently implementable as written because the NomCom does not maintain the necessary information from prior candidates and does not currently have the right to use such data for such studies.</li> </ul> | <ul style="list-style-type: none"> <li>• Board/BGC; NomCom</li> <li>• Staff: Board Support, Legal, NomCom Support</li> </ul> |
|       | <b>DECISION MAKING TRANSPARENCY AND APPEALS PROCESSES</b>   |             |                    |                     |  |  |
| 9.1   | <p>9.1 Consideration of decision-making inputs and appeals processes:</p> <p>ICANN Bylaws Article XI should be amended to include the following language to mandate Board Response to Advisory Committee Formal Advice:</p> <p>The ICANN Board will respond in a timely manner to</p> | 1           | TBD                |                     | <ul style="list-style-type: none"> <li>• This Recommendation will be on the BGC agenda for discussion in Singapore.</li> <li>• We should continue testing the community advice register but also need to understand what “formal advice” means. No action on bylaws change suggestion is recommended at this time.</li> </ul>  | <ul style="list-style-type: none"> <li>• Board/BGC</li> <li>• Staff: Legal</li> </ul>  |



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|     | formal advice from all Advisory Committees, explaining what action it took and the rationale for doing so.   |   |     |  |  |   |
| 9.2 | <p>9.2 Explore Options for Restructuring Current Review Mechanisms:</p> <p>The ICANN Board should convene a Special Community Group, which should also include governance and dispute resolution expertise, to discuss options for improving Board accountability with regard to restructuring of the Independent Review Process (IRP) and the Reconsideration Process. The Special Community Group will use the 2012 Report of the Accountability Structures Expert Panel (ASEP) as one basis for its discussions. All recommendations of this Special Community Group would be subject to full community participation, consultation and review, and must take into account any limitations that may be imposed by ICANN’s structure, including the degree to which the ICANN Board cannot legally cede its decision-making to, or otherwise be bound by, a third party.</p> | 2 | TBD |  | <ul style="list-style-type: none"> <li>• Recommendation is not clear and requires further review and analysis by staff to determine if the recommendation is implementable and if so, how it should be implemented.</li> <li>• Should the Board decide to move forward with implementation of this recommendation, staff highlights several areas to consider.</li> <li>• Determine who will provide staff support for this group.</li> <li>• The level of work they can do remotely vs. requiring in person meetings will drastically affect the level of financial resources that would be required to support this effort.</li> <li>• The implementation could take 12-18 months to conclude, but could be sooner if sufficient staff support is immediately available.</li> </ul> <p>Milestones:</p> <ul style="list-style-type: none"> <li>• Identify group members;</li> <li>• Provide sufficient time for the group to conduct work and make recommendations;</li> <li>• Publicly post recommendation and possibly bylaws revisions;</li> <li>• Board consideration of recommendations in light of public comment (or following further draft from group following public comments;</li> <li>• If revisions or new review mechanisms are adopted, upon completion of Bylaws revisions, it could take little time or a long time to implement the changes, depending on what they are. If simple revisions to the mechanism and only calls for revision to the language of the Bylaws, it should take about two months. If a whole new mechanism or new</li> </ul> | <ul style="list-style-type: none"> <li>• Board/BGC</li> <li>• Staff: Legal</li> </ul> |

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|      |  |   |     |  | approach to existing mechanisms is recommended, it is too difficult to quantify time needed for implementation.   |   |
| 9.4b | b. A discussion of the degree to which ICANN, both staff and community, are adhering to a default standard of transparency in all policy, implementation and administrative actions; as well as the degree to which all narratives, redaction, or other practices used to not disclose information to the ICANN community are documented in a transparent manner.  | 2 | TBD |  | <ul style="list-style-type: none"> <li>• Recommendation is not clear, or the way forward to implement the ATRT2 recommendation is not clear and requires further review and analysis by staff to determine if the recommendation is implementable and if so, how it should be implemented.</li> <li>• In terms of documenting how and when items are redacted or withheld from disclosure this can be done fairly quickly and can be a regular part of any such report. Implementing Recommendation #5 might be sufficient to satisfy this, at least as it relates to the staff and Board.</li> </ul> | <ul style="list-style-type: none"> <li>• Board/BGC</li> <li>• Staff: Legal</li> </ul> |
|      | <b>GAC OPERATIONS AND INTERACTIONS</b>   |   |     |  |   |   |
| 6.1. | <p>Increased transparency of GAC-related activities:</p> <p>6.1. ATRT2 recommends that the Board work jointly with the GAC, through the Board-GAC Recommendation Implementation Working Group (BGRI working group), to consider a number of actions to make its deliberations more transparent and better understood to the ICANN community. Where appropriate, ICANN should provide the necessary resources to facilitate the implementation of specific activities in this regard. Examples of activities that the GAC could consider to improve transparency and understanding include:</p> <p>a. 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</p> | 3 | TBD |  | <ul style="list-style-type: none"> <li>• Timing and milestones are for BGRI (and ultimately GAC) to agree upon, also in light of ongoing work in GAC Working Methods WG (where much of 6.1 are already in progress).</li> <li>• Certain recommendations call for extra resources, notably 6.1.a (depending on ambition and frequency), 6.1.c (a new website needed instead of the current perfunctory Wiki-based solution).</li> </ul>  | <ul style="list-style-type: none"> <li>• GAC</li> <li>• Staff: Policy</li> </ul>      |

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|  | <p>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;</p> <p>b. 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;</p> <p>c. 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;</p> <p>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;</p> <p>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;</p> <p>f. Establishing as a routine practice agenda setting calls for the next meeting at the conclusion of the previous meeting;</p> <p>g. Providing clarity regarding the role of the leadership of the GAC; and,</p> |  |  |  |  |  |
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|     | 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.  |   |     |  |   |   |
| 6.2 | 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.   | 3 | TBD |  | <ul style="list-style-type: none"> <li>• Timing and milestones are for BGRI (and ultimately GAC) to agree upon, also in light of ongoing work in GAC Working Methods WG.</li> </ul> | <ul style="list-style-type: none"> <li>• GAC</li> <li>• Staff: Policy</li> </ul>  |
| 6.3 | 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. | 3 | TBD |  | <ul style="list-style-type: none"> <li>• Timing and milestones are for BGRI (and ultimately GAC) to agree upon, also in light of ongoing work in GAC Working Methods WG.</li> </ul> | <ul style="list-style-type: none"> <li>• GAC</li> <li>• Staff: Policy</li> </ul>  |
| 6.4 | 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).  | 3 | TBD |  | <ul style="list-style-type: none"> <li>• Timing and milestones are for BGRI (and ultimately GAC) to agree upon, also in light of ongoing work in GAC Working Methods WG.</li> </ul> | <ul style="list-style-type: none"> <li>• BGRI</li> <li>• Staff: Policy</li> </ul> |
| 6.5 | 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).  | 3 | TBD |  | <ul style="list-style-type: none"> <li>• Timing and milestones are for BGRI (and ultimately GAC) to agree upon, also in light of ongoing work in GAC Working Methods WG.</li> </ul> | <ul style="list-style-type: none"> <li>• BGRI</li> <li>• Staff: Policy</li> </ul> |
| 6.6 | Increase support and resource commitments of government to the GAC (see ATRT 1 Recommendation 14):   | 3 | TBD |  | <ul style="list-style-type: none"> <li>• Timing and milestones are for BGRI (and ultimately GAC) to agree upon, also in light of ongoing work in GAC Working Methods WG.</li> </ul> | <ul style="list-style-type: none"> <li>• BGRI</li> <li>• Staff: Policy</li> </ul> |

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|     | <p>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 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.</p> |   |     |  | <ul style="list-style-type: none"> <li>• Certain recommendations call for extra resources, notably 6.6 (depending on BGRI decisions on details of this broadly scoped rec)</li> </ul>  |   |
| 6.7 | <p>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.</p>   | 3 | TBD |  | <ul style="list-style-type: none"> <li>• Timing and milestones are for BGRI (and ultimately GAC) to agree upon, also in light of ongoing work in GAC Working Methods WG.</li> <li>• Certain recommendations call for extra resources, notably 6.7 (if supported/ financed by ICANN, rather than by host nation)</li> </ul> | <ul style="list-style-type: none"> <li>• BGRI</li> <li>• Staff: Policy</li> </ul> |

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| 6.9a | <p>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:</p> <p>a. Relationships with GAC and non-GAC member countries, including the development of a database of contact information for relevant government ministers;</p>  | 3 | TBD | <ul style="list-style-type: none"> <li>• GSE has developed a series of Key Success Factors (KSF) and Key Progress Indicators (KPI) to demonstrate the objectives and goals developed through the planning process. These KPIs will be available to the global community through Executive Dashboards.</li> <li>• Work on the CRM development for GSE is in the task queue for T1 and T2 of FY15. We are currently engaged in the budgeting exercise to identify resources for FY15. The ability to deliver this product will be dependent on the successful budget requests.</li> <li>• Define scope - The cost of maintaining the database will depend on several factors including the size and complexity of the database and integration with existing data, such as the GAC membership list. To constrain costs a suggested model would include a bi-annual review of the GAC membership list and an annual validation of the mailing list using a mail and bounce system.</li> <li>• Develop detailed requirements; assign responsibilities</li> <li>• Identify tool/resource</li> <li>• Conduct development, testing, refinement.</li> <li>• Pilot, refine</li> <li>• Implement and set up an ongoing maintenance process</li> </ul> | <ul style="list-style-type: none"> <li>• Board</li> <li>• Staff: GSE; Policy</li> </ul> |
|      | <b>MULTILINGUALISM</b>  |   |     |   |   |
| 8    | <p>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</p> | 3 | TBD | <ul style="list-style-type: none"> <li>• Hire a consultant to carry out full analysis of ICANN’s language services department and assess the community’s “needs”. This consultant will also survey other translation and localization departments, including the UN and give recommendation on a model that would work for ICANN’s growing language services needs (FY15)</li> <li>• Work on define KPIs for the service</li> <li>• As mentioned, the work of LS has many dependencies. It falls in the</li> </ul>  | <ul style="list-style-type: none"> <li>• Staff: Language Services</li> </ul>            |

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|      | procedures used by international organizations such as the United Nations.   |   |     |  | middle of a series of events, including Content creation in English, Transmission of translated or interpreted content. We intend to work more closely with departments to insure their content and edits are submitted in a timely manner in order to secure timely return of translated materials. We also intend to hire a web admin specialist who will secure the posting of translated material in a timely manner.   |  |
|      | <b>AOC REVIEW PROCESS EFFECTIVENESS</b>  |   |     |  |   |  |
| 11.2 | <p>11.2 - Coordination of Reviews:</p> <p>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.</p>   | 2 | TBD |  | <p>The way forward to implement this recommendation is not clear and requires further review and analysis by staff and consideration by the Board, to determine if the recommendation is implementable and if so, how it should be implemented.</p> <ul style="list-style-type: none"> <li>• In order to adopt and implement this recommendation, the AoC mandate of the three-year cycle may need to be reconsidered. As the AoC is an agreement between ICANN and the Department of Commerce, modifications to the AoC can only be achieved by the agreement of both parties.</li> <li>• An alternative may be to consider ways that the scope of work of subsequent review teams is streamlined and focused in a way to make shorter and more focused and efficient reviews</li> </ul> | <ul style="list-style-type: none"> <li>• Board, SIC</li> <li>• Staff: Strategic Initiatives</li> </ul> |
| 11.3 | <p>11.3 Appointment of Review Teams:</p> <p>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</p> | 2 | TBD |  | <p>The way forward to implement this recommendation is not clear and requires further review and analysis by staff and consideration by the Board, to determine if the recommendation is implementable and if so, how it should be implemented.</p>   | <ul style="list-style-type: none"> <li>• Board, SIC</li> <li>• Staff: Strategic Initiatives</li> </ul> |

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|      | 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.   |   |     |  |   |  |
|      | <b>FINANCIAL ACCOUNTABILITY AND TRANSPARENCY</b>  |   |     |  |   |  |
| 12.1 | <p>12. In light of the significant growth in the organization, the Board should undertake a special scrutiny of its financial governance structure regarding its overall principles, methods applied and decision-making procedures, to include engaging stakeholders.</p> <p>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.</p> | 2 | TBD |  | <p>ATRT2 recommendation is not clear, or the way forward to implement ATRT2 recommendation is not clear and requires further review and analysis by staff to determine if the recommendation is implementable and if so, how it should be implemented.</p> <ul style="list-style-type: none"> <li>• Since it is not the role of the Board to plan and prioritize the work of the organization, but the role of the CEO, this recommendation is understood to be relative to implementing procedures and processes that enable the Board to ensure that the ICANN community, including all SOs and ACs, can participate in the planning and prioritizing of the organization. Staff will seek clarification on whether the above understanding is correct.</li> </ul> <p>As ICANN (community and staff) is developing a new planning process, initiated through the development of a 5-year strategic plan, the staff is focused on ensuring that the planning process includes in its design to allow this effective participation.</p> <ul style="list-style-type: none"> <li>• Consultation of the community and the ATRT2 team members interested will be undertaken to establish clearly defined requirements for community participation (“what are trying to achieve? What are the roles of Community/Staff/Board?”) in order to design, validate and implement suggested processes to improve and enhance participation.</li> <li>• Staff does not believe that new financial procedures, on their own, can achieve the objective as formulated by the recommendation 12.1. The planning and prioritization of the work is an operational process that involves operational decision making in which financial implications are</li> </ul> | <ul style="list-style-type: none"> <li>• Staff: Finance</li> </ul> |



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|      |   |           |     |  | only some of many parameters.  |  |
| 12.2 | 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. | 2         | TBD |  | <p>ATRT2 recommendation is not clear, or the way forward to implement ATRT2 recommendation is not clear and requires further review and analysis by staff to determine if the recommendation is implementable and if so, how it should be implemented.</p> <ul style="list-style-type: none"> <li>• ICANN is transitioning to a process where high level Strategic Planning (Vision, Mission and Focus Areas), guides measurable organizational goals and the development of the Operating Plan and Budget.</li> </ul> | <ul style="list-style-type: none"> <li>• Staff: Finance</li> </ul> |
|      | <b>TOTAL COMPONENTS PENDING ADDITIONAL WORK</b>   | <b>18</b> |     |  |  |  |