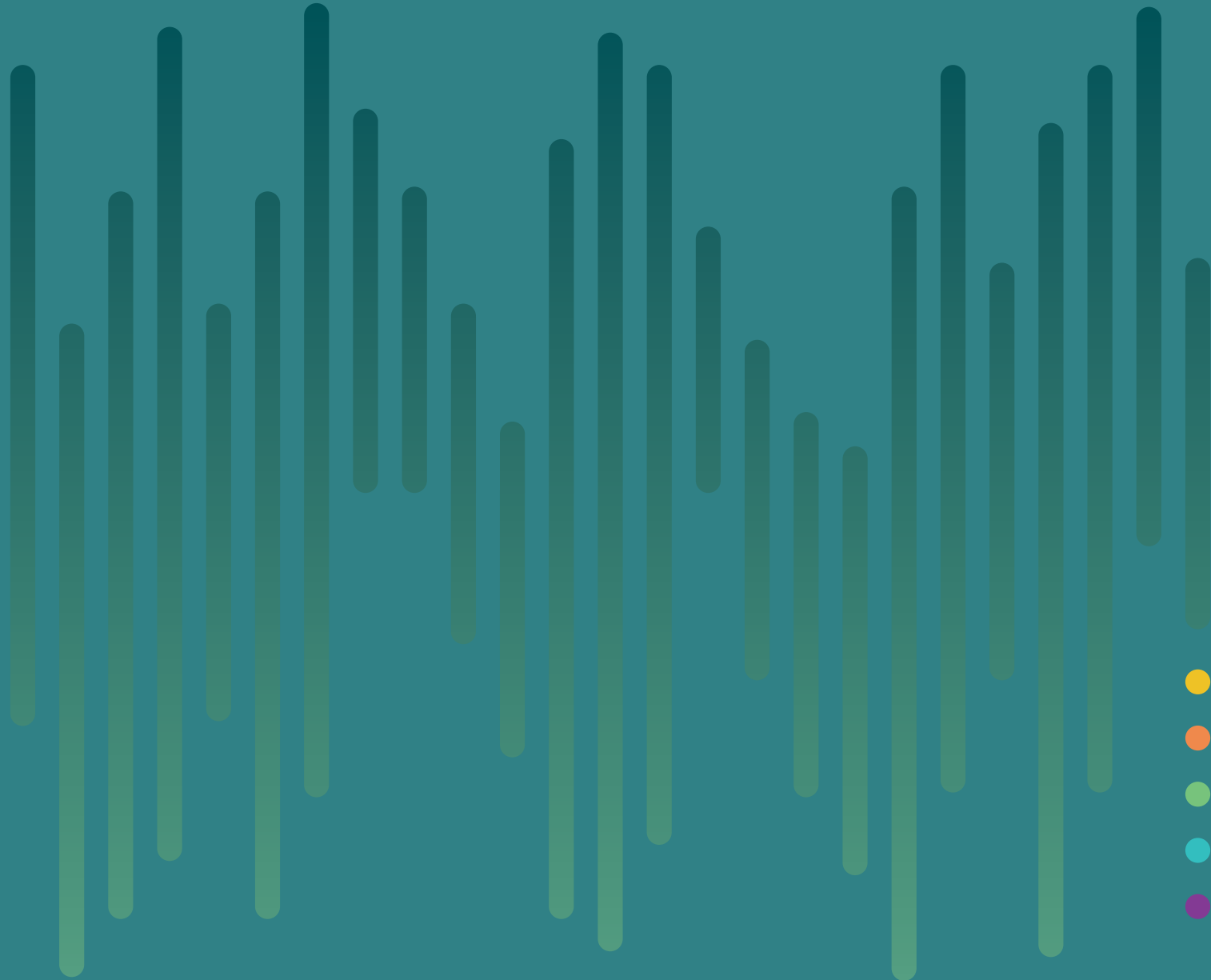




THE ANNUAL REVIEWS IMPLEMENTATION REPORT

1 JULY 2018-30 JUNE 2019



ONE WORLD, ONE INTERNET

THE ANNUAL REVIEWS IMPLEMENTATION REPORT

If you have comments about this report, please send your feedback to: reviews@icann.org.

SPECIFIC REVIEWS AT ICANN

Specific Reviews originated under the **Affirmation of Commitments** in 2009 and are now mandated in Section 4.6 of the ICANN Bylaws. They are conducted by community-led review teams which assess ICANN's performance in fulfilling its commitments.

Specific Reviews form an important part of ICANN's accountability measures and are critical to maintaining a healthy multistakeholder model. Reviews support continuous improvement and are a tool for the ICANN community to hold the ICANN Board and ICANN org accountable to key commitments.

Section 4.5 of the ICANN Bylaws states that:

"ICANN will produce an annual report on the state of the accountability and transparency reviews, which will discuss the status of the implementation of all review processes required by **Section 4.6** and the status of ICANN's implementation of the recommendations set forth in the final reports issued by the review teams to the Board following the conclusion of such review ("Annual Review Implementation Report"). The Annual Review Implementation Report will be posted on the Website for public review and comment. Each Annual Review Implementation Report will be considered by the Board and serve as an input to the continuing process of implementing the recommendations from the review teams set forth in the final reports of such review teams required in Section 4.6."

In line with Section 4.5 of the ICANN Bylaws, this first Annual Review Implementation Report charts the progress of Specific Reviews and the progress of implementing the resulting recommendations.

The four Specific Reviews are:

- **Accountability and Transparency (ATRT)**
- **Competition, Consumer Trust, and Consumer Choice (CCT)**
- **Registration Directory Service (RDS)**
- **Security, Stability, and Resiliency (SSR)**

As of 30 June 2019, the Competition, Consumer Trust, and Consumer Choice review is the only Specific Review to have issued recommendations since the Specific Reviews were integrated into the Bylaws and the reporting requirement went into effect on 1 October 2016.

Specific Reviews follow a documented process. The **flowchart** and **handbook** for Specific Reviews are available on the icann.org website and are updated periodically.

Discussions are underway in consultation with the ICANN community to develop a sustainable schedule and streamline future reviews, and to address budgeting and prioritization of recommendations.

ICANN BOARD OVERSIGHT OF SPECIFIC REVIEWS

The ICANN Board’s Organizational Effectiveness Committee (OEC) is responsible for “the review and oversight of all Specific Reviews mandated by Section 4.6 of ICANN Bylaws or any replacement or revisions to that section of the Bylaws.”

The OEC’s responsibilities include “the review and oversight of policies, processes, and procedures relating to ... Specific Reviews”.¹ The OEC oversees the implementation of review recommendations resulting from the Specific Reviews and regularly reports to the full Board on the progress of Specific Reviews and the implementation status of the recommendations.

In line with best practice experience from the work related to the IANA Stewardship Transition process, the Board is using Caucus Groups as a mechanism to provide input to Specific Review Teams on the scope of work, feasibility of recommendations, and other key matters. Caucus Groups are small groups of Board members with expertise and interest in the particular review-related topics. The goal is to create an interactive environment where the Board can engage with the Review Teams to offer input and observations for Review Teams’ consideration on a timely basis.

OPERATING STANDARDS

ICANN org developed Operating Standards to provide guidance on conducting Specific Reviews and to address required items detailed in **Section 4.6(a)(i) of the Bylaws** related to: candidate nomination; review team selection; review team size; conflict of interest policies; decision-making procedures; solicitation of independent experts; and review team access to confidential documentation subject to the Confidential Disclosure Framework.

The Operating Standards also incorporated best practices from recent and ongoing Specific Reviews that were launched or conducted under the new Bylaws, including best practices, process improvements, and **public comments** on **Long-Term Options to Adjust the Timeline for Specific Reviews**.

In consultation with the ICANN community, the process to develop the Operating Standards began shortly after the adoption of the updated Bylaws in 2016. Updates were presented to the ICANN community in **webinars** and public sessions during **ICANN57**, **ICANN58**, **ICANN60**, **ICANN63**, and **ICANN64**. **Draft Operating Standards** were posted for **Public Comment** in October 2017 and an **updated draft** for was posted for **Public Comment** in December 2018.

The Board **adopted** the Operating Standards at ICANN64. The adopted Operating Standards inform the work of current (to the extent applicable) and future Specific Reviews teams.

¹ See the Organizational Effectiveness Committee Charter as approved by the ICANN Board of Directors on 14 March 2019: <https://www.icann.org/resources/pages/charter-oec-2019-04-05-en>

FACT SHEETS

In line with ICANN’s transparency and accountability commitments, Specific Review Fact Sheets are posted publicly on the Review Team’s wiki pages and updated on a quarterly basis. These provide the ICANN community with high-level information and are aimed at enhancing general understanding of progress and resources. Fact Sheets are produced and updated by ICANN org in collaboration with Review Team leadership.

Fact Sheets track accomplishment of milestones, participation of Review Team members, financial resources used compared to allocated budget, and supporting resources provided by the ICANN org.

ACCOUNTABILITY AND TRANSPARENCY (ATRT) REVIEW

ATRT BACKGROUND

Section 4.6(b) of the **Bylaws** states that:

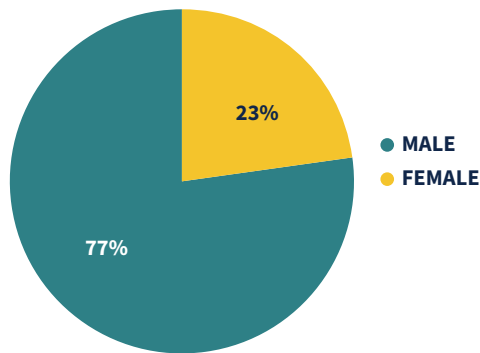
- i. The Board shall cause a periodic review of ICANN’s execution of its commitment to maintain and improve robust mechanisms for public input, accountability, and transparency so as to ensure that the outcomes of its decision-making reflect the public interest and are accountable to the Internet community (“Accountability and Transparency Review”).
- ii. The issues that the review team for the Accountability and Transparency Review (the “**Accountability and Transparency Review Team**”) may assess include, but are not limited to, the following:
 - A. assessing and improving Board governance which shall include an ongoing evaluation of Board performance, the Board selection process, the extent to which the Board’s composition and allocation structure meets ICANN’s present and future needs, and the appeal mechanisms for Board decisions contained in these Bylaws;
 - B. assessing the role and effectiveness of the GAC’s interaction with the Board and with the broader ICANN community, and making recommendations for improvement to ensure effective consideration by ICANN of GAC input on the public policy aspects of the technical coordination of the DNS;
 - C. assessing and improving the processes by which ICANN receives public input (including adequate explanation of decisions taken and the rationale thereof);
 - D. assessing the extent to which ICANN’s decisions are supported and accepted by the Internet community;
 - E. assessing the policy development process to facilitate enhanced cross-community deliberations, and effective and timely policy development; and
 - F. assessing and improving the Independent Review Process.

- iii. The Accountability and Transparency Review Team shall also assess the extent to which prior Accountability and Transparency Review recommendations have been implemented and the extent to which implementation of such recommendations has resulted in the intended effect.
- iv. The Accountability and Transparency Review Team may recommend to the Board the termination or amendment of other periodic reviews required by this Section 4.6, and may recommend to the Board the creation of additional periodic reviews.
- v. The Accountability and Transparency Review Team should issue its final report within one year of convening its first meeting.
- vi. The Accountability and Transparency Review shall be conducted no less frequently than every five years measured from the date the previous Accountability and Transparency Review Team was convened.”

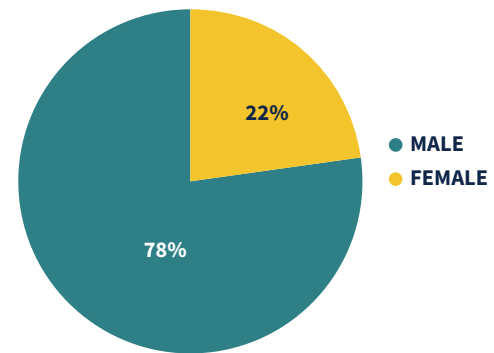
Below graphs represent the third Accountability and Transparency Review (ATRT3) applicants and selected Review Team members by gender, region, and Supporting Organization and Advisory Committee (SO/AC) representation.

ATRT3 Review

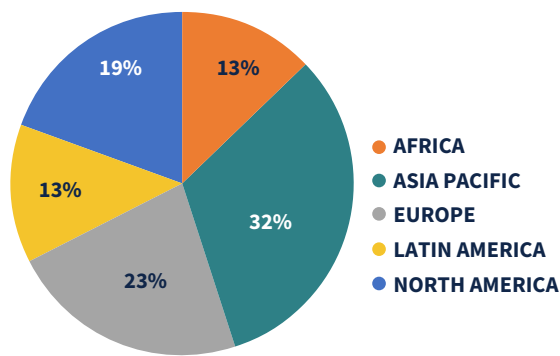
GENDER OF APPLICANTS



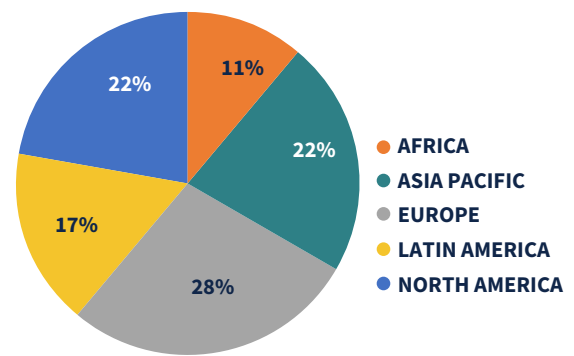
GENDER OF REVIEW TEAM



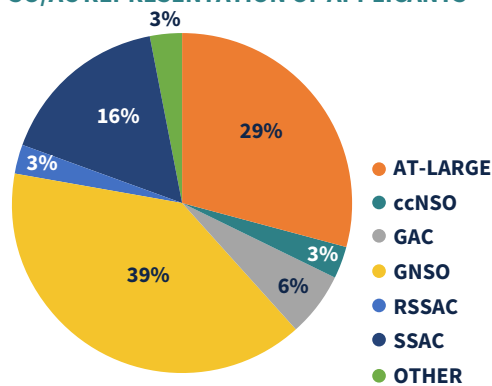
APPLICANTS BY REGION



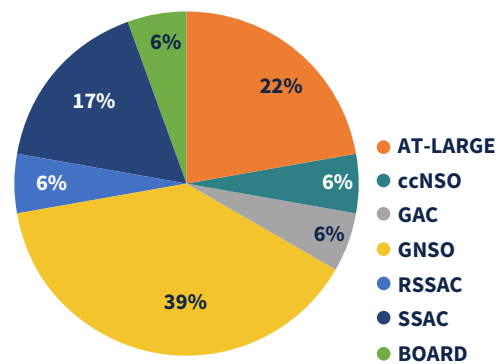
REVIEW TEAM BY REGION



SO/AC REPRESENTATION OF APPLICANTS



SO/AC REPRESENTATION OF REVIEW TEAM



READ MORE:

[ATRT Review Home Page.](#)

[ATRT3 Review Wiki Page.](#)

[ATRT3 Review Fact Sheet.](#)

STATUS OF ATRT3

ATRT3 was initiated on schedule with the [call for volunteers](#) published in January 2017. The Review received 26 **applications** and SO/AC Chairs made the final selection of the Review Team. This selection followed the outcome of public comments on [Short-term Options to Adjust the Timeline of Reviews](#).

The ATRT3 Terms of Reference and Work Plan were approved by consensus of the Review Team and **submitted** to the ICANN Board in June 2019. The Review Team held a face-to-face meeting and various engagement sessions with SO/ACs and constituencies at ICANN65 in Marrakech to advance research and findings. The Review Team intends to submit its draft report for Public Comment after ICANN66.

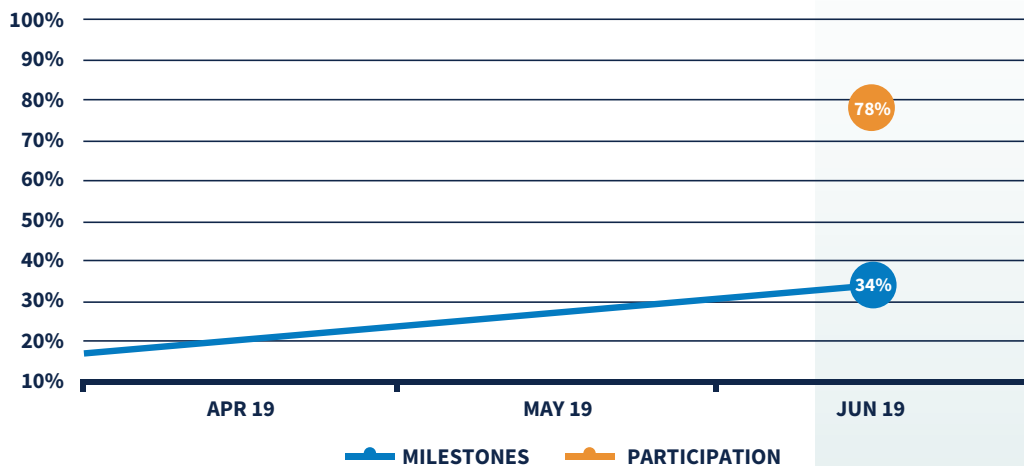
➔ [REVIEW the ATRT3 Wiki page.](#)

Tracking of ATRT3 Review Team’s Progress: Fiscal Year 2019 via Fact Sheet

The chart below illustrates that the Review Team completed 34 percent of its total milestones by June 2019. Participation by the Review Team members in team meetings averaged 78 percent. The Review Team spent and committed to spend approximately \$150,000 through June 2019. This represents 27 percent of its allocated budget of \$550,000.

ATRT3 Review Fact Sheet KPIs

APRIL 2019 - JUNE 2019



Review Team members spent more than 900 hours in plenary, leadership, and subgroups calls through June 2019. Similarly, the number of hours spent on these calls by the project managers and subject matter experts within the ICANN org was more than 200 hours.

COMPETITION, CONSUMER TRUST AND CONSUMER CHOICE (CCT) REVIEW

CCT BACKGROUND

The ICANN **Bylaws** Section 4.6(d) outlines the following as the scope of the CCT Review:

- i. “ICANN will ensure that it will adequately address issues of competition, consumer protection, security, stability and resiliency, malicious abuse issues, sovereignty concerns, and rights protection prior to, or concurrent with, authorizing an increase in the number of new top-level domains in the root zone of the DNS pursuant to an application process initiated on or after the date of these Bylaws (“**New gTLD Round**”).”

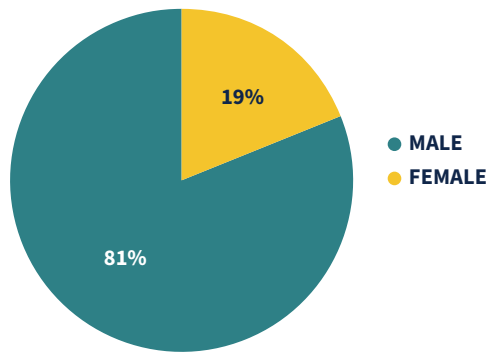
However, the CCT Review referenced in this report was initiated under the Affirmation of Commitments, as it relates to a review of the first round of the New gTLD Program. The scope of this first CCT Review requires that the review shall examine the extent to which the expansion of gTLDs has promoted competition, consumer trust, and consumer choice. The review also assesses the effectiveness of the New gTLD Round’s application and evaluation process, as well as the safeguards put in place to mitigate issues arising from the New gTLD Round. As the Final Report was released after the Specific Reviews were incorporated into the Bylaws, the ICANN Board and org have been following the Bylaws’ obligations in consideration of and reporting on the recommendations made by the CCT Review Team.

The CCT Review Team was announced in December 2015 and was originally comprised of 17 community representatives and volunteer subject matter experts under the Affirmation of Commitments (AoC) Section 9.3.

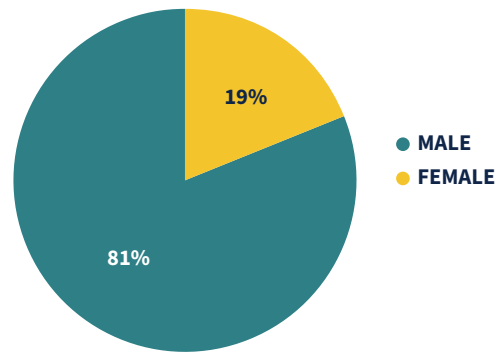
Below graphs outline the applicants and selected Review Team members by gender, region, and SO/AC representation.

CCT Review

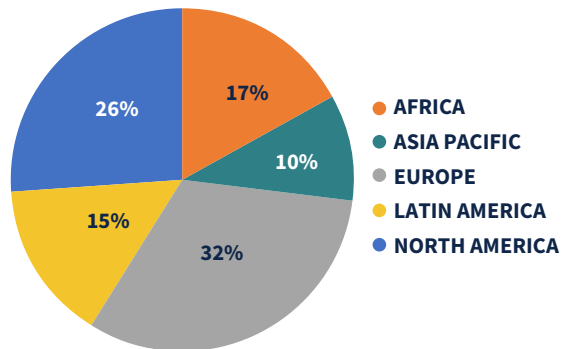
GENDER OF APPLICANTS



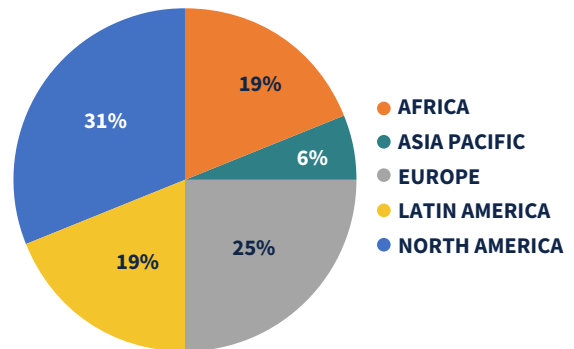
GENDER OF REVIEW TEAM



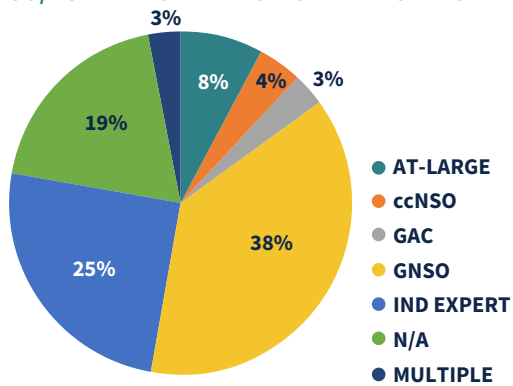
APPLICANTS BY REGION



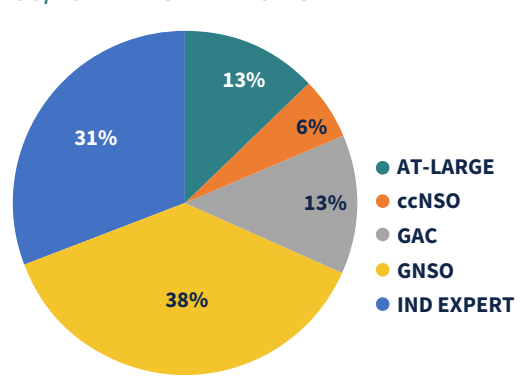
REVIEW TEAM BY REGION



SO/AC REPRESENTATION OF APPLICANTS



SO/AC REPRESENTATION OF REVIEW TEAM



READ MORE:

[CCT Review Home Page.](#)

[CCT Review Wiki Page.](#)

[CCT Review Fact Sheet.](#)

STATUS OF CCT REVIEW

The CCT Review Final Report was issued in September 2018, following almost three years of work. The broad-reaching report contained 35 recommendations covering topics including: requests for additional data collection; policy issues for reference to the policy development processes; and suggested enhancements relating to reporting and data collection within ICANN org’s Contractual Compliance function.

The Review Team held 67 plenary calls (3 in FY19), 75 subteam calls (0 in FY19), and 8 face-to-face meetings (0 in FY19) as well as 1 penholders meeting in July 2018. The status of the review including duration, milestones, and professional services and travel expenses were posted on a quarterly basis on the Review Team’s [Wiki page](#).

The CCT Review Team strengthened recommendations in line with the SMART objectives approach before publishing the **Final Report**. This approach focuses on setting goals that are Specific, Measurable, Achievable, Relevant, and Time-Bound. The Review Team received **input** from the ICANN Board as well as comments received during the **Public Comment** periods, some of which were considered and included in the Final Report.

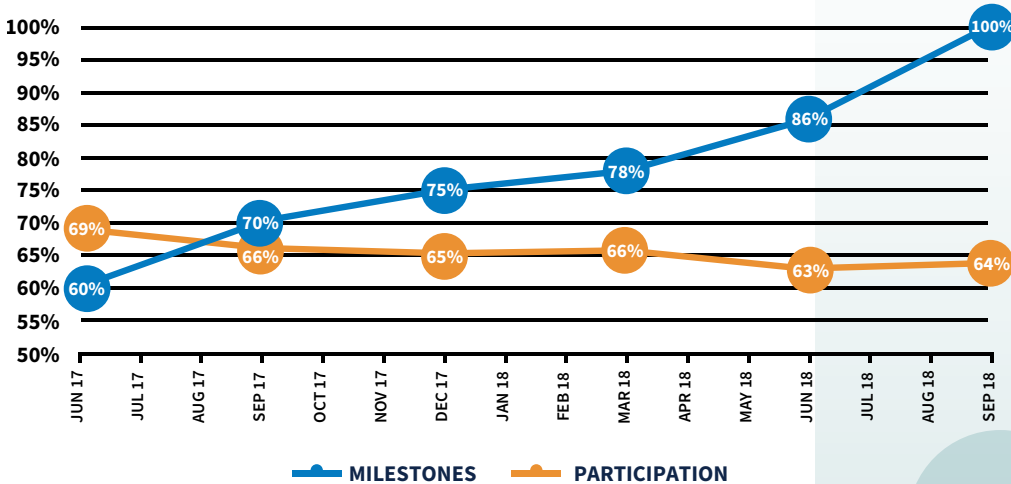
➔ [READ the CCT Review Final Report.](#)

TRACKING CCT REVIEW TEAM’S PROGRESS: FISCAL YEAR 2019 VIA FACT SHEET

Upon conclusion of the review, overall participation by the CCT Review Team members was 64 percent.

CCT Review Fact Sheet KPIs

JULY 2017 - SEPTEMBER 2018



Review Team members spent more than 3,400 hours (approximately 60 in FY19) in plenary, leadership, and subgroup calls through June 2019. The number of hours spent on these calls by the project managers and subject matter experts within the ICANN organization was approximately 1,800 hours (approximately 30 in FY19) through the end of the fiscal year.

STATUS OF IMPLEMENTATION OF THE RECOMMENDATIONS

Following the **submission** of the CCT Final Report to the ICANN Board in September 2018, the Board took action on the Final Recommendations on 1 March 2019. In its **resolution**, the Board accepted six recommendations for which the Board directed “the ICANN President and CEO, or his designee(s), to develop and submit to the Board a plan for the implementation of the accepted recommendations. This plan should be completed and provided to the community for consideration no later than six months after this Board action. The ICANN President and CEO, or his designee(s), is directed to report back to the Board on the plan and any community input no later than nine (9) months after this Board action.”

Additionally, the Board placed 17 recommendations into pending status on which it commits to take further action subsequent to the completion of intermediate steps as identified in the scorecard titled “Final CCT Recommendations: Board Action (1 March 2019)”. The Board directs the ICANN org to provide to the Board relevant information, as requested in the scorecard titled “Final CCT Recommendations: Board Action (1 March 2019)”, and advise if additional time is needed within six months from this Board action. The Board passed through 14 recommendations (in whole or in part) to the identified parts of the ICANN community for consideration and ICANN org notified the relevant community groups.

In September 2019, ICANN org posted a plan for implementation of accepted recommendations for **Public Comment** in accordance with the Board’s March 2019 resolution. ICANN org will provide an update on the progress toward addressing the additional information the Board has requested on the pending recommendations.

➤ [READ about recent implementation developments.](#)

REGISTRATION DIRECTORY SERVICE (RDS) REVIEW

RDS BACKGROUND

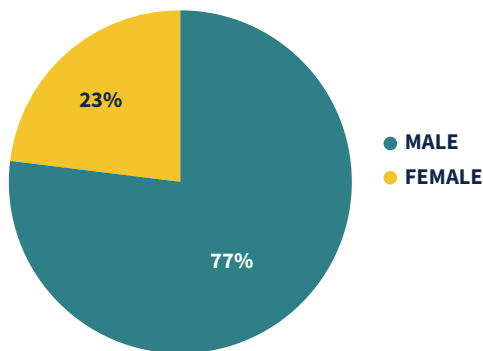
According to Section 4.6(e) of the **Bylaws**:

- i. “Subject to applicable laws, ICANN shall use commercially reasonable efforts to enforce its policies relating to registration directory services and shall work with Supporting Organizations and Advisory Committees to explore structural changes to improve accuracy and access to generic top-level domain registration data, as well as consider safeguards for protecting such data.
- ii. The Board shall cause a periodic review to assess the effectiveness of the then current gTLD registry directory service and whether its implementation meets the legitimate needs of law enforcement, promoting consumer trust and safeguarding registrant data (“Directory Service Review”).
- iii. The Directory Service Review Team shall assess the extent to which prior Directory Service Review recommendations have been implemented and the extent to which implementation of such recommendations has resulted in the intended effect.”

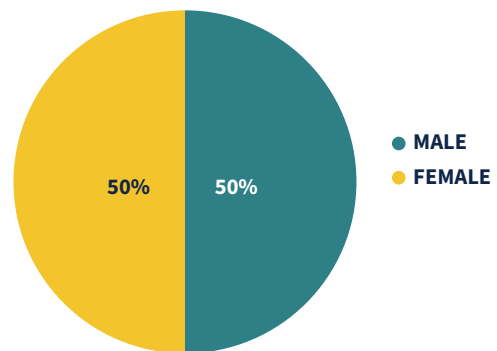
The RDS Review was initiated with a **call for volunteers** in October 2016. After the call for volunteers was extended three times, the Review received 38 **applications**. The SO/AC Chairs made the final **selection** of the Review Team in June 2017. Below graphs represent the applicants and selected Review Team members by gender, region, and SO/AC representation.

RDS Review

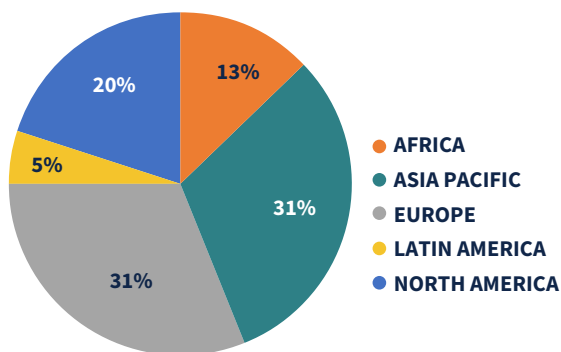
GENDER OF APPLICANTS



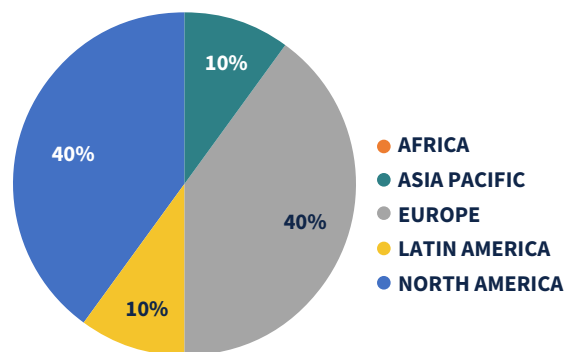
GENDER OF REVIEW TEAM



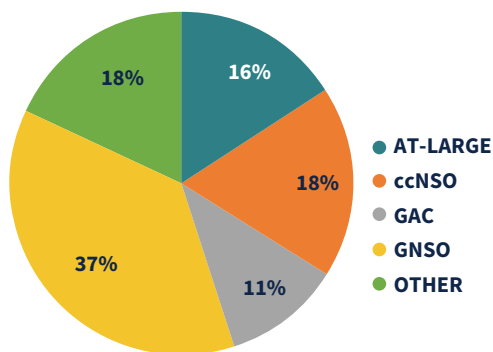
APPLICANTS BY REGION



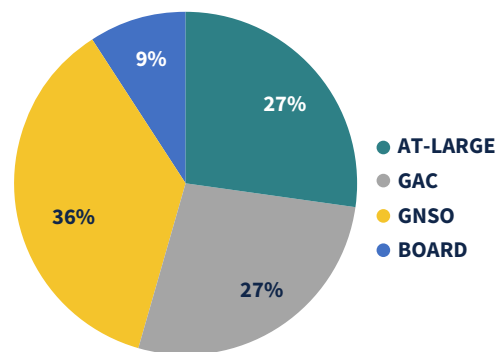
REVIEW TEAM BY REGION



SO/AC REPRESENTATION OF APPLICANTS



SO/AC REPRESENTATION OF REVIEW TEAM



READ MORE:

[RDS Review Home Page.](#)

[RDS Review Wiki Page.](#)

[RDS Review Fact Sheet.](#)

STATUS OF RDS REVIEW

The RDS Review Team began work in June 2017 and has held a total of 45 **plenary** calls (15 in FY19), 51 **leadership** calls (19 in FY19), 22 subgroup calls (2 in FY19), and 4 face-to-face meetings (2 in FY19). In April 2018, the Review Team held a **face-to-face meeting** to advance its work, finalize findings, and adopt draft recommendations produced by subgroups. The Review Team held its last face-to-face meeting in Brussels in **July 2018** and made significant progress towards publication of the Final Report after incorporating comments received during the Public Comment proceedings. The Review Team issued its Final Report in September 2019.

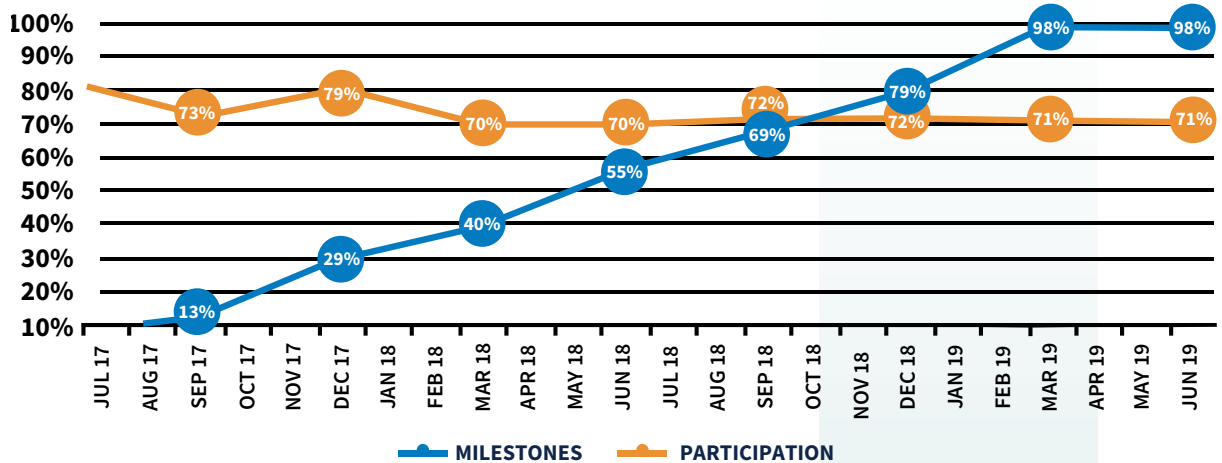
➔ [READ the Final Report.](#)

TRACKING OF RDS REVIEW TEAM’S PROGRESS: FISCAL YEAR 2019 VIA FACT SHEET

The Review Team completed 98 percent of its milestones as of June 2019. Participation by the Review Team members in team meetings ranged from 82 percent at the start of the review to 71 percent by June 2019. The Review Team spent approximately \$230,000, 42 percent of its allocated budget of \$550,000.

RDS Review Fact Sheet KPIs

JULY 2017 - JUNE 2019



Review Team members spent approximately 1,150 hours (468 in FY19) in plenary, leadership, and subgroup calls through June 2019. The number of hours spent on these calls by the project managers and subject matter experts within the ICANN org was approximately 785 hours.

STATUS OF IMPLEMENTATION OF THE RECOMMENDATIONS

In FY19, the RDS worked on its draft Final Report which had two main areas of assessment: the first was the extent to which prior Directory Service Review recommendations have been implemented and resulted in the intended effect; the second was effectiveness of the then current gTLD registry directory service and whether its implementation meets the legitimate needs of law enforcement, promotes consumer trust, and safeguards registrant data.

As a result of the analysis of the past WHOIS1 Review Team recommendations, as well as this review team's new findings and recommendations, the RDS-WHOIS2 Review Team made 22 new recommendations. The Final Report was released the following fiscal year, in September 2019, and implementation information will be covered in the FY20 ICANN Annual Report.

[VISIT the RDS Wiki page.](#)

SECURITY, STABILITY, AND RESILIENCY OF THE DNS (SSR) REVIEW

BACKGROUND

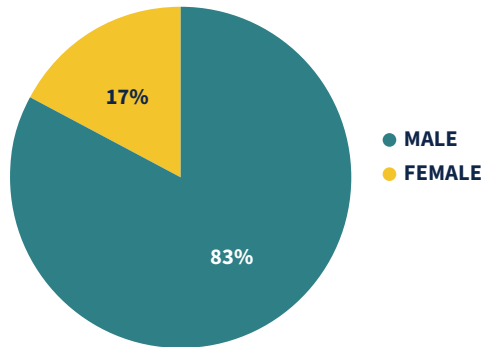
Section 4.6(c) of the **Bylaws** sets out the scope and parameters of the SSR Review:

- i.** “The Board shall cause a periodic review of ICANN’s execution of its commitment to enhance the operational stability, reliability, resiliency, security, and global interoperability of the systems and processes, both internal and external, that directly affect and/or are affected by the Internet’s system of unique identifiers that ICANN coordinates (“**SSR Review**”).
- ii.** The issues that the review team for the SSR Review (“**SSR Review Team**”) may assess are the following:
 - A.** security, operational stability and resiliency matters, both physical and network, relating to the coordination of the Internet’s system of unique identifiers.
 - B.** conformance with appropriate security contingency planning framework for the Internet’s system of unique identifiers.
 - C.** maintaining clear and globally interoperable security processes for those portions of the Internet’s system of unique identifiers that ICANN coordinates.
- iii.** The SSR Review Team shall also assess the extent to which ICANN has successfully implemented its security efforts, the effectiveness of the security efforts to deal with actual and potential challenges and threats to the security and stability of the DNS, and the extent to which the security efforts are sufficiently robust to meet future challenges and threats to the security, stability and resiliency of the DNS, consistent with ICANN’s Mission.
- iv.** The SSR Review Team shall also assess the extent to which prior SSR Review recommendations have been implemented and the extent to which implementation of such recommendations has resulted in the intended effect.
- v.** The SSR Review shall be conducted no less frequently than every five years, measured from the date the previous SSR Review Team was convened.”

The SSR2 Review was initiated with a call for volunteers in June 2016 and the Review Team was announced in February 2017. The below graphs represent the applicants and selected Review Team members by gender, region, and SO/AC representation.

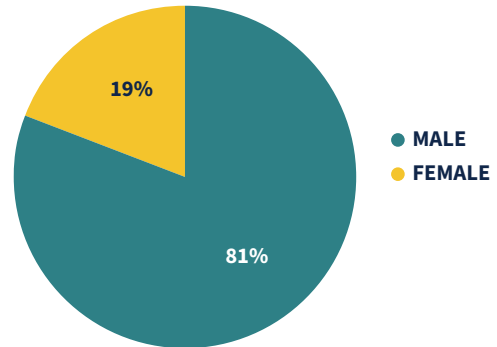
SSR2 Review

GENDER OF APPLICANTS

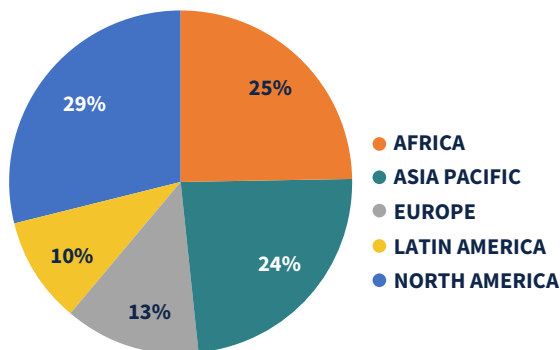


SSR2 Review

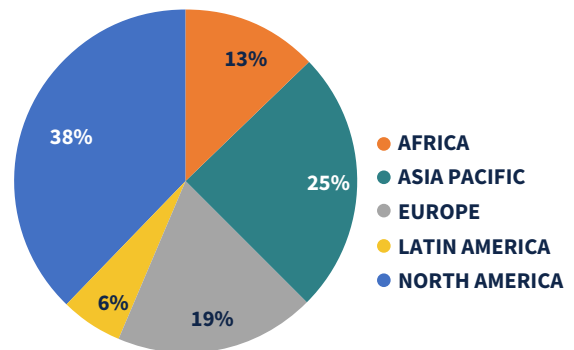
GENDER OF REVIEW TEAM



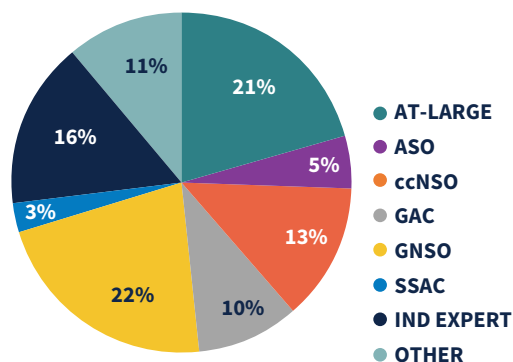
APPLICANTS BY REGION



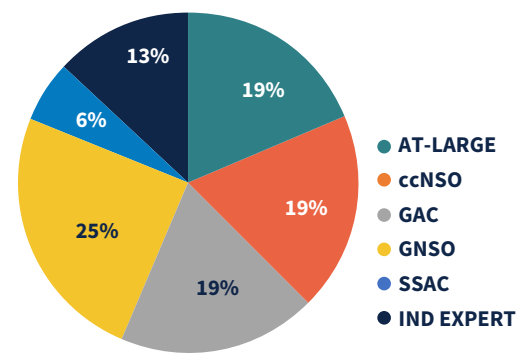
REVIEW TEAM BY REGION



SO/AC REPRESENTATION OF APPLICANTS



SO/AC REPRESENTATION OF REVIEW TEAM



READ MORE:

[SSR Review Home Page.](#)

[SSR2 Review Wiki Page.](#)

[SSR2 Review Fact Sheet.](#)

STATUS OF SSR2 REVIEW

Through June 2019, the SSR2 Review Team held 57 plenary calls (35 in FY19), 52 leadership calls (36 in FY19), 10 subgroup calls, and 10 face-to-face meetings through ICANN65 (6 meetings during FY19). FY19 included a three-day facilitated **meeting** in August 2018, attendance at **ICANN63**, a **meeting** in Los Angeles in January 2019, attendance at **ICANN64**, a **meeting** in Brussels in May 2019, and attendance at **ICANN65**. The Review Team is currently in the research and findings phase of its work and expects to have draft recommendations completed in 2019.

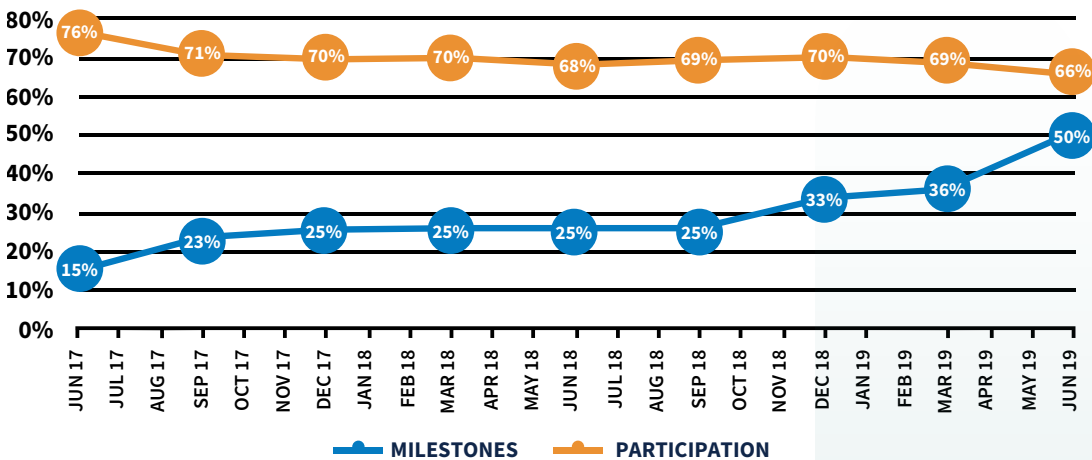
➔ [VISIT the SSR2 Wiki page.](#)

TRACKING SSR2 REVIEW TEAM’S PROGRESS: FISCAL YEAR 2019 VIA FACT SHEET

The Review Team completed 50 percent of its milestones as of June 2019. Overall, participation by the Review Team members in team meetings ranged from 84 percent at the beginning of the fiscal year to 66 percent by June 2019. The Review Team spent approximately \$570,000, 104 percent of its allocated budget of \$550,000 as of June 2019.

SSR2 Review Fact Sheet KPIs

JULY 2017 - JUNE 2019



Review Team members spent more than 2,200 hours (1,200 hours in FY19) in plenary, leadership, and subgroups calls through June 2019. The number of hours spent on these calls by the project managers and subject matters experts within ICANN org was approximately 1,100 hours (approximately 350 hours in FY19).

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