

# Organizational Effectiveness Committee Activities Report

July 15, 2016

## Section I: Completed Activities – Q1 through Q2 2016

Item	Description	OEC Completion Date	Accomplishments/Outcome
Review Framework	Lessons Learned from Recent Reviews - in light of the OEC's responsibilities for the review and oversight of policies, processes, and procedures that relate to organizational reviews, the OEC is well positioned to share with the Board best practices and lessons learned from conducting effective reviews. These lessons learned have been documented, communicated to GDD in connection with upcoming Reviews and are being incorporated into the planning of all upcoming Reviews.	January 2016	<p>Lessons learned shared with GDD and incorporated into plans for Competition, Consumer Trust and Consumer Choice Review (CCT) started in January 2016</p> <ul style="list-style-type: none"> <li>- Staff has developed a specification for a centralized tracking mechanism for monitoring findings, recommendations, and implementation status of Organizational Reviews targeted for development in November 2015.</li> <li>- Resolved (<a href="#">2015.07.28.14</a>), the Board endorses the proposed process and operational improvements that were posted for public comment and are designed to simplify and increase the effectiveness of Reviews, and the Board acknowledges that the Organizational Effectiveness Committee is finalizing "Organizational Reviews Policies, Procedures and Guidelines," following appropriate public consultation.</li> <li>- Committee provided feedback to Staff regarding Standard Review Process &amp; Methodology; Standards &amp; Criteria and other process/operational improvements in June 2015.</li> <li>- Staff presented draft overview and table of contents for Policies, Procedures and Guidelines for Organizational Reviews in April 2015.</li> </ul>

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			<ul style="list-style-type: none"> <li>- Staff highlighted possible actions as well as work underway, toward process improvement in February 2015.</li> <li>- Key points of the Moss Adams report discussed in October 2014.</li> <li>- Review inventory/mapping completed in July 2014.</li> </ul>
GNSO2 Review	<p>ICANN’s <a href="#">Bylaws</a> require that its structures, including the GNSO, be reviewed on a five-year cycle. The review is part of ICANN’s commitment to continuous improvement, accountability and transparency. The GNSO Review was conducted under a new, improved approach and informed the work on evolving ICANN’s Review Framework, as part of the broader accountability discussion.</p> <p><b>GNSO Review Working Party:</b> assembled by the GNSO Council to act as a liaison between the GNSO, the Independent Examiner and the OEC. The Working Party provided input on review criteria, the 360 Assessment and assisted with identifying interview candidates. The group supplied clarification and responses to the working text of findings and recommendations as well as the Draft Report. After Board approval of the Final Report, the GNSO Review Working Party will assemble an Implementation Working Party and will be expected to coordinate with the GNSO community to prepare an Implementation Plan and champion implementation of improvement activities.</p> <p><b>360 Assessment:</b> A new component within the organizational review, the 360 Assessment was designed to gather data for the</p>	June 2016	<p>ICANN Board <a href="#">approved</a> the adoption of 34 out of the 36 recommendations during ICANN56 and requested an implementation plan within six months (December 2016).</p> <ul style="list-style-type: none"> <li>- On 15 May 2016, the OEC endorsed the Final Report and recommended the adoption of the report as per the recommendation of the GNSO Review Working Party and the GNSO Council.</li> <li>- GNSO Council <a href="#">adopted</a> the Feasibility and Prioritization Analysis on 14 April 2016 which guided the OEC’s recommendation to the Board.</li> <li>- Presentation of Feasibility Assessment and action by OEC on the Final Report deferred to March 2016 to provide community with sufficient time to conclude their work.</li> <li>- Westlake Governance presentation to the OEC at the September 2015 meeting.</li> <li>- <a href="#">Final Report</a> published in September 2015.</li> <li>- <a href="#">Draft Report</a> from Westlake Governance published on 1 June 2015 – see Public Comment <a href="#">Forum</a>. Substantial community feedback: 12 comments on behalf of organizations, 3</li> </ul>

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	<p>Independent Examiner to use in the GNSO2 Review process and may inform GNSO self-improvement efforts. This online tool collected feedback from the GNSO community, other ICANN structures and community members, the Board and staff. The data collected via the 360 Assessment was summarized and analyzed by the Independent Examiner, and used as an input into their review work. See <a href="#">GNSO Review Statistics</a>.</p> <p><b>Frequently Asked Questions and Answers</b> are available on the <a href="#">GNSO Review wiki</a>.</p>		<p>comments from individuals as well as oral comments and feedback provided during 8 public sessions at ICANN53.</p> <ul style="list-style-type: none"> <li>- The GNSO2 Review was extended from 9 months to 14 months to give community sufficient opportunity to offer their views and ensure that the final product is useful.</li> </ul>
At-Large2 Review (Planning Phase)	A Working Party was established in 2015 and preparatory meetings with the Working Party leadership team were held to discuss scope of work, the projected timeline, criteria for the selection of the independent examiner, and self-assessment of the first At-Large review.	May 2016	<p>Staff conducted its due diligence on the selection of the independent examiner and contracted with ITEMS International in May 2016.</p> <ul style="list-style-type: none"> <li>- OEC was briefed on the evaluation criteria for the selection of the Independent Examiner together with the short list of six candidates during its meeting at ICANN55 in Marrakech. OEC advised staff to proceed with the selection based on the approved criteria</li> <li>- Competitive bidding to select independent examiner: <a href="#">RFP</a> published 5 Jan 2016, proposals due 28 Jan 2016. Six proposals received.</li> <li>- Initial meetings held with Chair of the OEC, ALAC Leadership Team and staff.</li> <li>- Holly Raiche designated as the Chair of the At-Large Review Working Party; Working Party has been established.</li> <li>- Self-assessment and planning: May – Oct 2015</li> </ul>

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RySG Charter Amendments	GNSO gTLD Registries Stakeholder Group Charter Amendments (2016) – the Bylaws (Article X, Section 5.3) state, "Each [GNSO] Stakeholder Group shall maintain recognition with the ICANN Board." The Board has interpreted this language to require that the ICANN Board formally approve any amendments to the governing documents of SGs and/or Constituencies in the GNSO.	May 2016	<p>The ICANN Board approved the RySG Charter Amendments (<a href="#">resolution</a>). The RySG and ICANN staff are directed to provide access to the new governing document on the appropriate web pages for the RySG and the RySG shall review the changes within one year to determine if they are having the intended impacts.</p> <p>The OEC at its meeting on 19 April 2016 reviewed the proposed RySG charter amendments (together with the results of the public comment). It had discussed the implication of the changes including potential liabilities to ICANN at its previous meeting and had determined that potential risks to ICANN should be conveyed to the Board Risk Committee and the CFO. This action was completed at ICANN55 in Marrakech in March 2016. On 27 April (via email), the OEC agreed to recommend to the Board that they approve the RySG charter amendments and for the Board to direct the RySG to review the changes within one year.</p> <p>The SG amended its existing Charter document to adjust to an evolving composition of membership and to enable it to more effectively undertake its policy development responsibilities. Among a number of amendments, the most substantial charter changes are in the following areas:</p> <ul style="list-style-type: none"> <li>- Creation of a new class of "Association"</li> </ul>

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			members; - Changes to the weighted voting categories and measures of the group; and - Adjustments to the community fee structure to accommodate the addition of association members.

## Section II: In-Progress Activities

Item	Description	Target Completion Date	Status
GNSO2 Review (Plan Implementation)	Staff to: <ul style="list-style-type: none"> <li>• Initiate work on the planning and implementation of the recommendations.</li> <li>• Develop a proposal on the prioritization of the implementation of the recommendations; taking into consideration a work plan that is feasible for the community.</li> </ul>	December 2016	GNSO Council discussed a way forward in June 2016 and agreed to provide an update to the OEC on its progress of planning and preparing for implementation work.
At-Large2 Review (Conduct Review Phase)	ICANN's <a href="#">Bylaws</a> require that its structures, including the At-Large Advisory Committee, be reviewed on a five-year cycle. This review is part of ICANN's commitment to continuous improvement, accountability and transparency. The At-Large Review will be conducted under a new, improved approach and will leverage the learning from the GNSO Review. Initial planning work addressed topics that required fine-tuning and	June 2017	Independent Examiners met the Working Party, participated in At-Large activities at ICANN56 and conducted one-on-one interviews with community at the ICANN meeting and several regional events. <ul style="list-style-type: none"> <li>- Interviews and observations of proceedings will inform online survey targeted to a broad and diverse group of people.</li> </ul>

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	<p>adjustment of the standard review approach to tailor it for At-Large (i.e. survey design, structure, timeline, interviews and assessment of prior review recommendations). This will also help to quantify/define phases of work that represent the most significant drivers of review time and cost for the At-Large Review Working Party and independent examiner.</p> <p>It is anticipated that ITEMS International will publish their Final Report in April 2017.</p> <p><b>Review schedule (updated April 2016):</b></p> 		<ul style="list-style-type: none"> <li>- A kickoff call with ITEMS International and the At-Large Review Working Party was held in May 2016.</li> </ul>
NomCom Review	Launch scheduled for February 2017.	TBD	OEC Chair and staff met with the NomCom leadership during ICANN56 in Helsinki to initiate planning for the review.
Review Framework/ Process of Conducting Effective Reviews	To develop an integrated approach to reviews. Moss Adams, an independent expert in conducting performance and financial audits, was contracted to develop a Review Inventory and Mapping. Process maps were developed for both structural and AoC reviews. Findings and	TBD	<p>Chair and staff provided a briefing to a community representative from the CCWG-Accountability team on approach and progress of developing Operating Standards – June 2016.</p> <ul style="list-style-type: none"> <li>- Staff is assembling documentation of Review</li> </ul>

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	<p>recommendations were developed based on an in-depth analysis of reviews. Process improvement work has been underway, also incorporating lessons learned from recent reviews.</p> <p>Committee agreed with a two-phase approach:</p> <ul style="list-style-type: none"> <li>- Phase 1: Systematization of Reviews, based on current mandates</li> <li>- Phase 2: Future of Reviews in the post-transition ICANN</li> </ul> <p>Staff to:</p> <ul style="list-style-type: none"> <li>- Prepare draft outline of the process involved for the creation of the Operating Standards, to be presented to the OEC at its next meeting.</li> <li>- Analyze the public comments received on the new ICANN Bylaws; and to ascertain its impact on the Operating Standards prior to the OEC’s next meeting.</li> <li>- Provide an example to the OEC to demonstrate the usage of the Community wiki space to collaborate on developing the Operating Standards prior to the OEC’s next meeting.</li> </ul>		<p>processes formulated into Draft Review Policies, Procedures and Guidelines, to align with Operating Standards proposed in Recommendation 9 of CCWG-Accountability proposal.</p> <ul style="list-style-type: none"> <li>- Created a “Review Enthusiasts” program to help diversify the group of people that participate in reviews so that, ultimately, it would bring in additional expertise and knowledge;</li> <li>- Developed tailored and user-friendly information – this includes a number of activities e.g. newcomer presentations, conversations with the community to assess whether there are gaps in understanding and information to narrow the gaps; as well as providing interactive guides and process maps that are user-friendly</li> <li>- Focused on outcomes and impact – this includes review scorecards and the performance measures to be able to articulate how the outcomes of various review recommendations which have been implemented and the impact of this work towards making improvements around ICANN.</li> </ul>
Holistic Assessment of ICANN Structures	<p>The OEC initiated its discussion on the effectiveness of ICANN’s review processes and explored whether there was a need to conduct holistic reviews of ICANN from time to time, in addition to the narrower reviews of specific structures.</p> <p>The OEC to discuss further the possibility of the review of the CWG and CCWG mechanisms, in conjunction with a staff-</p>	TBD	Committee to defer this discussion until after transition has been completed and the currently planned reviews have had an opportunity to operationalize improvements already identified.

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Item	Description	Target Completion Date	Status
	proposed timeline for this review.		