

# Organizational Effectiveness Committee Activities Report

January 26, 2017

## Section I: Completed Activities – Q1 through Q4 2016

*Note: Reviews and related projects consist of several major phases (planning, conducting review and implementing improvements), and each phase may last 6 months and longer. While completed activities are reflective of these phases in Section I of this report, Section II includes milestones that have been completed within the phases that are still work in progress.*

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>- MSSI 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 MSSI Staff regarding Standard Review Process &amp; Methodology Standards &amp; Criteria and other process/operational improvements in June 2015.</li> </ul>

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			<ul style="list-style-type: none"> <li>- MSSI Staff presented draft overview and table of contents for Policies, Procedures and Guidelines for Organizational Reviews in April 2015.</li> <li>- MSSI 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 assembled an Implementation Working Party and will be expected to coordinate with the GNSO community to prepare an Implementation Plan and champion implementation of</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 25 June 2016, the Board <a href="#">accepted</a> the Final Report from the Independent Examiner and took into account the GNSO Review Working Party's Feasibility and Prioritization Analysis of the GNSO Recommendations and therefore adopted 34 out of 36 recommendations.</li> <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</li> </ul>

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	<p>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 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 ICANN Organization. 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>2016 to provide community with sufficient time to conclude their work.</p> <ul style="list-style-type: none"> <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 comments from individuals as well as oral comments and feedback provided during 8 public sessions at ICANN53.</li> <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>MSSI 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 MSSI 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</li> </ul>

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			<p>Leadership Team and ICANN Organization.</p> <ul style="list-style-type: none"> <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>
RySG Charter Amendments	<p>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.</p>	May 2016	<p>The ICANN Board approved the RySG Charter Amendments (<a href="#">resolution</a>). The RySG and ICANN Organization 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</p>

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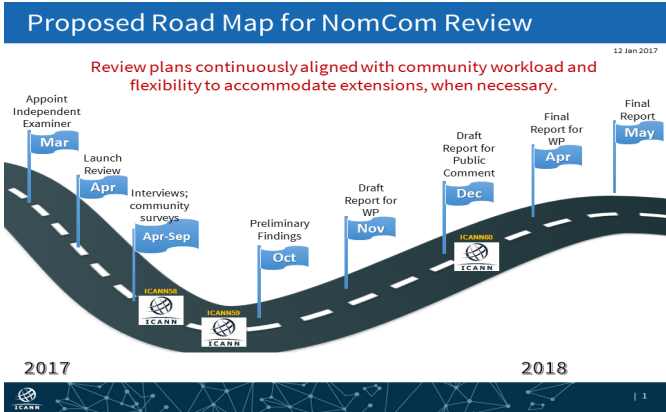
Item	Description	OEC Completion Date	Accomplishments/Outcome
			and to enable it to more effectively undertake its policy development responsibilities. Among a number of amendments, the most substantial charter changes are in the following areas: <ul style="list-style-type: none"> <li>- Creation of a new class of "Association" members;</li> <li>- Changes to the weighted voting categories and measures of the group; and</li> <li>- Adjustments to the community fee structure to accommodate the addition of association members.</li> </ul>

## Section II: In-Progress Activities

Item	Description	Target Completion Date	Status
ASO Review	Discuss and place on the record OEC view regarding whether the process followed by the NRO to select an independent examiner fulfills established requirements.	January 2017	<ul style="list-style-type: none"> <li>- An ad-hoc process was put in place based on an agreement between the NRO and the OEC: The NRO will provide the OEC with all applications received to assure that the OEC can adequately monitor the selection process of the independent examiner.</li> <li>- The NRO <a href="#">announced a Request for Proposals</a> in November 2016 to identify an independent examiner to conduct the second review of the ASO. Four applications were received</li> <li>- The <a href="#">final report</a> of the first ASO Review was</li> </ul>

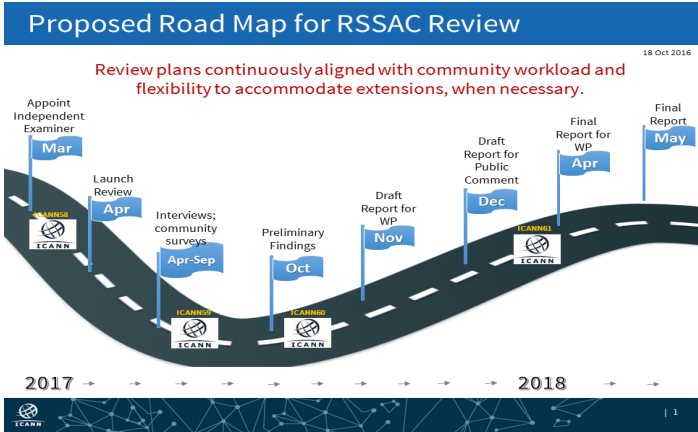
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Item	Description	Target Completion Date	Status
			published in December 2011. In response to one public comment submitted on the final report, the NRO suggested, "The NRO will mutually agree with ICANN on revised ASO Review procedure that provides <u>a joint selection</u> of an independent entity to perform the future ASO Reviews."
NomCom Review (Planning Phase)	<p>Launch of Review scheduled for April 2017. A Working Party was established in October 2016 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 NomCom Review.</p> <p><b>Proposed Review Schedule</b> (updated January 2017):</p> 	April 2017	<ul style="list-style-type: none"> <li>- Independent examiner RFP published on 18 January 2017, after the Working Party reviews and contributes to the criteria in the RFP. Selection of independent examiner and contracting anticipated to conclude in March/April 2017.</li> <li>- OEC confirmed scope of work, selection criteria and other key terms included in the RFP.</li> <li>- OEC Chair and MSSJ Staff met with the NomCom leadership during ICANN56 in Helsinki to initiate planning for the review.</li> <li>- Stephane Van Gelder designated as interim Chair of the NomCom2 Review Working Party; Working Party established in October 2016.</li> </ul>

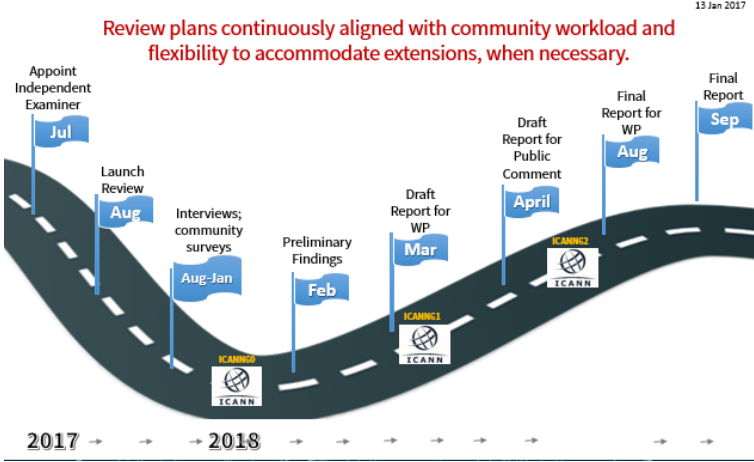
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<p>RSSAC2 Review (Planning Phase)</p>	<p>Launch of Review scheduled for June 2017. A Working Party was established in January 2017 and preparatory meetings with the Working Party leadership team were held to discuss scope of work, the projected timeline, criteria for the selection of the independent examiner, and self-assessment of the first RSSAC Review.</p> <p><b>Proposed Review Schedule</b> (updated October 2016):</p>  <p>The diagram, titled 'Proposed Road Map for RSSAC Review' (dated 18 Oct 2016), shows a winding road path from 2017 to 2018. Key milestones are marked with flags: 'Appoint Independent Examiner' (Mar), 'Launch Review' (Apr), 'Interviews; community surveys' (Apr-Sep), 'Preliminary Findings' (Oct), 'Draft Report for WP' (Nov), 'Draft Report for Public Comment' (Dec), 'Final Report for WP' (Apr), and 'Final Report' (May). The ICANN logo is placed at various points along the road. A note above the road states: 'Review plans continuously aligned with community workload and flexibility to accommodate extensions, when necessary.'</p>	<p>June 2017</p>	<ul style="list-style-type: none"> <li>- RSSAC Review Working Party formed in early January 2017.</li> <li>- Independent examiner RFP scheduled to launch in April 2017, after the Working Party reviews and contributes to the criteria in the RFP. Selection of independent examiner and contracting anticipated to conclude in June 2017.</li> </ul>
<p>SSAC2 Review (Planning Phase)</p>	<p>Launch of Review scheduled for August 2017. A Working Party will be in place by April 2017. Preparatory meetings with the SSAC Policy Support Staff were held to discuss the projected timeline, and roles and responsibilities.</p> <p><b>Proposed Review Schedule</b> (updated January 2017):</p>	<p>August 2017</p>	<ul style="list-style-type: none"> <li>- Independent examiner RFP scheduled to launch in June 2017, after the Working Party reviews and contributes to the criteria in the RFP. Selection of independent examiner and contracting anticipated to conclude in August 2017.</li> <li>- Face-to-face meeting with MSI and SSAC in Copenhagen planned to inform about process, roles and responsibilities, and timeline of review</li> </ul>

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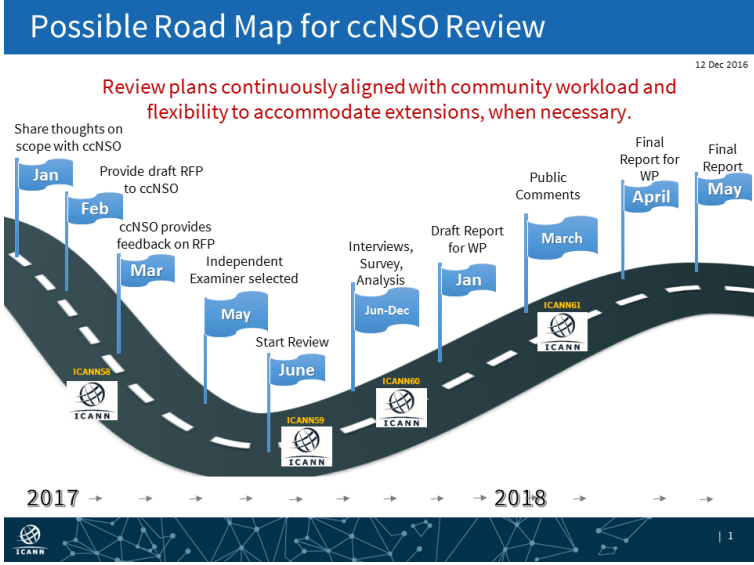
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Item	Description	Target Completion Date	Status
	<p style="text-align: center; color: red;">Review plans continuously aligned with community workload and flexibility to accommodate extensions, when necessary.</p>  <p style="text-align: center;">2017 → → → 2018 → → → → → → → → → →</p>		<ul style="list-style-type: none"> <li>- Working Party should be in place by April 2017.</li> </ul>
<p>ccNSO Review (Planning Phase)</p>	<p>Launch of Review scheduled for September 2017. A Working Party will be established by May 2017. Preparatory meetings with the ccNSO leadership team were held via conference calls and during f2ff meeting in Hyderabad to discuss, the projected timeline, and roles and responsibilities.</p> <p><b>Proposed Review Schedule</b> (updated December 2016):</p>	<p>September 2017</p>	<ul style="list-style-type: none"> <li>- Independent examiner RFP scheduled to launch in July 2017, after the Working Party reviews and contributes to the criteria in the RFP. Selection of independent examiner and contracting anticipated to conclude in August 2017.</li> <li>- The ccNSO leadership has expressed desire to meet with OEC leadership in Copenhagen to start initial discussion on scope of review – which is a high priority for them. ccNSO Support and MSI will coordinate with Board Support to arrange a convenient meeting time during ICANN58.</li> </ul>




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	 <p><b>Possible Road Map for ccNSO Review</b></p> <p>12 Dec 2016</p> <p>Review plans continuously aligned with community workload and flexibility to accommodate extensions, when necessary.</p> <p>Share thoughts on scope with ccNSO (Jan)</p> <p>Provide draft RFP to ccNSO (Feb)</p> <p>ccNSO provides feedback on RFP (Mar)</p> <p>Independent Examiner selected (May)</p> <p>Start Review (June)</p> <p>Interviews, Survey, Analysis (Jun-Dec)</p> <p>Draft Report for WP (Jan)</p> <p>Public Comments (March)</p> <p>Final Report for WP (April)</p> <p>Final Report (May)</p> <p>ICANN56, ICANN57, ICANN58, ICANN59, ICANN60, ICANN61</p> <p>2017 → → → → → → → → → → 2018 → → → → →</p>		
<p>At-Large2 Review (Conduct Review Phase)</p>	<p>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 is conducted under a new, improved approach leveraging the learning from the GNSO Review. Initial planning work addressed topics that required fine-tuning and 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 helped 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. Per ITEMS, 96 in-person interviews were conducted, 176</p>	<p>November 2017</p>	<ul style="list-style-type: none"> <li>- Draft Report scheduled to be posted for public comment on 31 January; Final Report scheduled to be issued in April or May, depending on volume of feedback during public comment phase.</li> <li>- Draft Report sent to the Working Party (WP) in December 2016 for their review; upon request by the WP, ITEMS received feedback from its members until early January.</li> <li>- ITEMS launched an online survey for the At-Large community in English, French and Spanish.</li> <li>- 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</li> </ul>

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	<p>responses to the survey were recorded, and ITEMS consultants attended 2 ICANN meetings, as well as regional I* meetings in Costa Rica, India, Brussels, and Botswana.</p> <p>It is anticipated that ITEMS International will publish their Final Report in April 2017.</p> <p><b>Review schedule</b> (updated January 2017):</p> 		<p>regional events.</p> <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> <li>- A kickoff call with ITEMS International and the At-Large Review Working Party was held in May 2016.</li> </ul>
<p>GNSO2 Review (Plan approval &amp; Implementation)</p>	<p>In June 2016, the ICANN Board accepted the Final Report of the independent examiner, adopted the GNSO Review Recommendations as adopted by the GNSO Council, and directed the GNSO Council to draft an implementation plan for the adopted recommendations with a realistic timeline that takes into account the continuously high community workload and consideration of the prioritization proposed by the WP; publish the plan no later than six (6) months after the Board’s adoption of the GNSO Review recommendations; ensure that</p>	<p>Plan approval: January 2017; Implementation completion: Q4 2018</p>	<p>The GNSO Review Working Group developed an Implementation Plan that was adopted by the GNSO Council on 15 December 2016 and will be presented to the OEC for consideration in January 2017.</p> <ul style="list-style-type: none"> <li>- The Working Group <a href="#">implementation plan</a> was approved by Council (<a href="#">see 20161215-3</a>) in December 2016.</li> <li>- Implementation Working Group <a href="#">formed</a> in September 2016.</li> </ul>

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	<p>the implementation plan includes definitions of desired outcomes and a way to measure current state as well as progress toward the desired outcome, and report back regularly to the Board on its implementation progress.</p> <p>The Implementation Working Group can begin implementing the 34 recommendations; implementation scheduled to be completed by December 2018.</p>		
Oversight of Specific Reviews	In November 2016, the OEC discussed whether, in the post-transition environment, the OEC might be a good place for the coordination of oversight of the "Specific Reviews", reviews that were formerly incorporated in the Affirmation of Commitments. The OEC agreed that it was willing to take on this role if the remainder of the Board agreed.	February 2017	<ul style="list-style-type: none"> <li>- Review OEC Charter.</li> <li>- Determine potential inclusion of OEC oversight of Specific Reviews.</li> <li>- Propose amendments to the OEC charter to the BGC and the Board</li> </ul>
Review Streamlining & Recalibration/ Review Framework/ Process of Conducting Effective Reviews	<p>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 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>In November 2016, OEC continued discussion about the importance of reviews, post-transition. As an initial step, the OEC agreed that it should initiate engagement with the SO/AC</p>	TBD	<ul style="list-style-type: none"> <li>- During ICANN57 MSSSI held <a href="#">public session on Operating Standards</a>, presented an overview document. Community feedback indicated that MSSSI should continue its efforts to put together the document based on existing practices.</li> <li>- Webinars and face-to-face meetings are forthcoming to continue community engagement in the development of the Operating Standards for Reviews.</li> <li>- MSSSI Staff is assembling documentation of Review processes formulated into Draft Review Policies, Procedures and Guidelines, to align with Operating Standards incorporated in the</li> </ul>

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	<p>leaders to obtain their input and feedback on how to recalibrate and streamline reviews in the future. In this regard, it is essential for the OEC to have clarity on what the challenges are, so that there is a shared understanding to facilitate their discussion with the SO/ACs.</p>		<p>new Bylaws.</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 that have been implemented and the impact of this work towards making improvements around ICANN. For example, please see <a href="#">CCT Fact Sheet</a>.</li> <li>- First draft has been reviewed by ICANN Organization (MSSI, Legal) and the document has been shared with Community Review Experts and SO/AC Chairs in November 2016.</li> <li>- ICANN Organization has started first Community consultations in Helsinki in June 2016 on the drafting processes. Chair and MSSI Staff provided a briefing to a community representative from the CCWG-Accountability team on approach and progress of developing Operating Standards – June 2016.</li> </ul>

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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 an MSI Staff-proposed timeline for this review.</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.