

Organizational Effectiveness Committee Activities Report

31 December 2018

Section I: Completed Activities – Q3 through Q4 2018

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	Completion Date	Status
RSSAC2 Review (Conduct Review) *See Section II for Plan Implementation phase	Review launched in September 2017 with the selection of Interisle Consulting Group as independent examiner.	July 2018	<ul style="list-style-type: none"> - Interisle provided a presentation of its draft final report during ICANN62. - The Final Report was published on 10 July 2018.
ccNSO2 Review (Planning Phase) *See Section II for Conduct Review phase	Review launched in August 2018 with the selection of Meridian Institute as independent examiner.	August 2018	<ul style="list-style-type: none"> - An RFP for an independent examiner was posted in April 2018 and closed on 4 June. - The OEC confirmed the independent examiner in August 2018. - Planning phase completed and review work started in August 2018.
Streamlining of Reviews *See Section II below for additional activities related to this subject	The timing of Bylaws-mandated Specific and Organizational Reviews resulted in multiple reviews occurring at the same time – currently eleven reviews are in various stages of work. The situation has strained volunteer and ICANN resources and resulted in Board and community discussions, including at ICANN63, to look for possible solutions to lessen the strain on volunteer community and resources, while maintaining accountability.	October 2018	<ul style="list-style-type: none"> - ICANN organization proposed options for immediate and long-term approaches to address these issues, based on Board input and community feedback. - Short-term and long-term proposals went out for public comment and the ICANN community was encouraged to provide additional thoughts and ideas on making the review schedule more manageable and sustainable including ways to improve efficiency and effectiveness of reviews in the future. - A proposed way forward to streamlining specific and organizational reviews was posted for public comment and garnered general agreement (see public comment;

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			consultation paper ; and report of public comments . The consultation paper lays out proposed steps and timing.
ATRT3 (Planning Phase) ¹ *See Section II for Conduct Review phase	Appointment of review team members to serve on the ATRT3	December 2018	<ul style="list-style-type: none"> - Review team members selected from list of nominated applicants. SO/AC Chairs contacted to confirm that candidates nominated are still available for review start in 2019. - Public comment on short-term options to adjust the timeline for specific reviews (including ATRT3) closed on 5 October 2018. - Board liaison appointed for review team on 25 October 2018. - SO/AC Chairs finalized selection of review team members in December 2018. - Announcement of the ATRT3 Review Team convening was published in December 2018.
SSAC2 Review (Conduct Review) *See Section II for Plan Implementation phase	Review launched in February 2018 with the selection of Analysis Group as independent examiner.	December 2018	<ul style="list-style-type: none"> - Analysis Group attended ICANN61 to conduct face-to-face interviews. - Analysis Group published its assessment report for public comment on 20 June 2018. - Analysis Group attended ICANN62 to present its assessment report and conduct additional interviews on a need-to basis. - The draft final report was posted for public comment on 15 October 2018; the Final Report was issued on 17 December 2018. - SSAC Review Working Party is currently preparing the Feasibility Assessment and Initial Implementation Plan, anticipated for June 2019.

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Item	Description	Completion Date	Status
<p>Operating Standards – updated document published for public comment</p>	<p>The new Bylaws call for development of Operating Standards to conduct reviews efficiently and effectively (Section 4.6), developed through community consultation, including public comment opportunities. The Operating Standards must be aligned with the Bylaws and provide a roadmap for conducting reviews where the Bylaws do not provide sufficient operational details.</p> <p>As part of the OEC’s oversight function for specific review, the OEC has also been engaged with the development of the Operating Standards. The OEC receives continuous briefings from ICANN org and is following community outreach, including public sessions during ICANN meetings and public comment forum.</p> <p>The OEC also will assess the final version of the Operating Standards before it is submitted to the Board for consideration; this is expected to take place in April 2019.</p>	<p>December 2018</p>	<ul style="list-style-type: none"> - ICANN posted a public comment on 27 October 2017 on Operating Standards for ICANN’s Specific Reviews. The public comment closed on 2 February 2018. ICANN org is in the process of modifying Draft Operating Standards based on public comments and recent developments with Specific Reviews (i.e. SSR2 pause/restart; proposal to adjust timeline for Specific Reviews currently out for public comment). - Over the past two years, a significant number of outreach efforts were made: Public sessions on the Operating Standards to socialize drafts and solicit community input at ICANN57, ICANN58, ICANN60, and ICANN63. The ICANN organization has also conducted webinars on the Operating Standards in February 2017, October 2017, and October 2018. - An updated draft of the Operating Standards was posted for public comment on 17 December 2018. - In the meantime, currently active specific review teams have been encouraged to refer to the draft Operating Standards whenever possible and provide real-time feedback to ICANN org.

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Section II: In-Progress Activities

Item	Description	Target Completion Date	Status
GNSO2 Review (Plan approval & Implementation)	<p>The Implementation Working Group formed in September 2016, and developed an Implementation Plan that was adopted by the GNSO Council in December 2016. The Implementation plan was presented to the OEC for consideration in February 2017.</p> <p>In adopting the Implementation Plan, the Board asked the Implementation Working Group to provide semi-annual updates to the OEC on the status of its progress in implementing the recommendations and provide further details on the upcoming implementations to help flag areas of concern in terms of cost, resources, and success of implementation.</p> <p>Implementation efforts started in March 2017 and have been completed.</p>	January 2019	<ul style="list-style-type: none"> - The Implementation Working Group prepared their second semi-annual update in June 2018 and it was submitted to the OEC in July 2018. - The Implementation Working Group finished the implementation of the recommendations resulting from second GNSO Review, ahead of schedule, in August 2018 and issued its final Implementation Report subsequently. - The OEC will review the submitted report in January 2019 and will make a recommendation to the Board to take action on the report at their January 2019 workshop in Los Angeles.
Registration Directory Service (RDS) Review ¹	<p>The RDS review looks 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.</p> <p>The Review Team was formed in June 2017.</p>	February 2019	<ul style="list-style-type: none"> - The team published a draft report on 31 August 2018. - Public comment period was open from 4 September 2018 to 18 November 2018. - The review team had a final face-to-face meeting in Brussels in December 2018 and is expected to publish their final report in February 2019.
OEC Charter	Amend OEC charter to include oversight of IANA Naming Function Review (IFR)	March 2019	<ul style="list-style-type: none"> - OEC adopted the charter modifications during its December 2018 meeting. - The ICANN org to submit to the Board Governance Committee (BGC) for consideration and further processing.

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Item	Description	Target Completion Date	Status
			<ul style="list-style-type: none"> - Oversight of IFRs will be added to OEC activities once approved by the Board at ICANN64.
Annual Review Implementation Report	Publish an annual review implementation report in accordance with Bylaws section 4.5.	March 2019	<ul style="list-style-type: none"> - OEC was briefed during its September 2018 meeting. - ICANN org to finalize report and request Board adoption at ICANN64.
NomCom2 Review (OEC to assess Final Report and RWP Feasibility Assessment)	The NomCom2 Review Working Party prepared a Feasibility Assessment and Initial Implementation Plan; anticipated completion date is December 2018. Then, the OEC will consider both the Final Report and the Feasibility Assessment to make a recommendation to the ICANN Board on next steps.	March 2019	<ul style="list-style-type: none"> - The NomCom2 formed an Implementation Planning Team (IPT) which prepared a Feasibility Assessment. - IPT approved its Feasibility Assessment and Initial Implementation Plan (FAIIP) with full consensus and submitted it to the OEC on 18 December 2018 - Subject to OEC's recommendation, Board action on the final report and FAIIP is anticipated for ICANN64.
Competition, Consumer Trust and Consumer Choice (CCT) Review ¹	The CCT Review focuses on the impact of new gTLDs in the areas of competition, consumer trust and consumer choice. The Review Team began its work in January 2016 and concluded in September 2018.	March 2019	<ul style="list-style-type: none"> - The CCT Review Team submitted their Final Report to the Board on 8 September 2018. - The Final Report was posted for public comment on 8 October 2018. - The Board will address the CCT report during the January 2019 Board Workshop. - The ICANN organization will complete a Feasibility Assessment and Initial Implementation Plan to inform Board action. Board action is due within six months of submission of the Final Report by the Review Team to the Board.
RSSAC2 Review (Plan Implementation)	The RSSAC2 Review Work Party prepared a Feasibility Assessment and Initial Implementation Plan. The OEC will consider the final report, the Feasibility Assessment and Initial	March 2019	<ul style="list-style-type: none"> - The Review Work Party published its Feasibility Assessment and Initial Implementation Plan on 2 October 2018. Board action on next steps, including implementation, is anticipated for ICANN64.

¹ The OEC oversees the development and maintenance of Review Framework that encapsulates the policies, processes and procedures applicable to the conduct of Reviews and ensures adherence to Operating Standards, Bylaws, and best practices.

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	Implementation Plan and public comments, to make a recommendation to the Board on suitable action.		
Operating Standards (adoption)	<p>The new Bylaws call for development of Operating Standards to conduct reviews efficiently and effectively (Section 4.6), developed through community consultation, including public comment opportunities. The Operating Standards must be aligned with the Bylaws and provide a roadmap for conducting reviews where the Bylaws do not provide sufficient operational details.</p> <p>As part of the OEC’s oversight function for specific review, the OEC has also been engaged with the development of the Operating Standards. The OEC receives continuous briefings from ICANN org and is following community outreach, including public sessions during ICANN meetings and public comment forum.</p> <p>The OEC also will assess the final version of the Operating Standards before it is submitted to the Board for consideration; this is expected to take place in April 2019.</p>	April 2019	<ul style="list-style-type: none"> - Once the public comment is closed, and ICANN Org has provided a summary of public comments, and, if necessary, and updated version of the Operating Standards, the OEC will decide whether additional community outreach is necessary before recommending Board adoption. - Subject to community feedback and Board approval, the Operating Standards are expected to be adopted in April 2019. - In the meantime, currently active specific review teams have been encouraged to refer to the draft Operating Standards whenever possible and provide real-time feedback to ICANN org.
ASO Review (post-review process)	Discuss and place on the record OEC view regarding whether the review process followed ICANN’s transparency and accountability expectations, specifically, the NRO’s selection of the independent examiner. This is part of the OEC’s ‘lessons learned’ initiative, to assess to what extent the selection process and all other aspects of the second ASO review were in line with the ICANN Bylaws	May 2019	<ul style="list-style-type: none"> - Once the current review process is completed, the OEC will assess that all aspects of the second ASO review were in line with the Bylaws, the MoU, and ICANN’s transparency and accountability expectations.

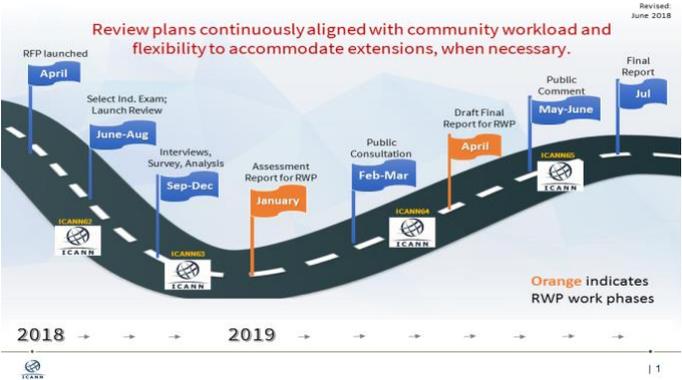
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Item	Description	Target Completion Date	Status
Second Security, Stability, and Resiliency (SSR2) Review ¹	<p>The SSR2 review focuses on ICANN's execution of its commitment to enhance the operational stability, reliability, resiliency, security, and 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.</p> <p>The Review Team began its work in March 2017; it was paused in October 2017 and resumed its work in June 2018.</p>	June 2019	<ul style="list-style-type: none"> - The review has been restarted in line with the guidance from the SO/AC chairs. The resumption was signified by the appointment of additional review team members and by the engagement of a facilitator to help the Review Team through the transition. - SSR2 Review Team revised and adopted their Terms of Reference in September 2018. They notified the SO/ACs of this development and submitted their adopted Terms of Reference to the Board. - At ICANN63, the review team held an engagement session with the community to inform them of their accomplishments and progress of work to date. - SSR2 Review Team finalized and adopted their work plan in November 2018 and submitted it to the Board.
SSAC2 Review (Plan Implementation)	With the submission of the final report the SSAC Review Work Party (RWP is now completing its Feasibility Assessment and Initial Implementation Plan (FAIIP), anticipated for June 2019.	June 2019	<ul style="list-style-type: none"> - ICANN org has provided SSAC RWP with a FAIIP template and held a conference call to set expectation for completion of the document - Subject to any unforeseen delays, the RWP will submit the FAIIP to the OEC by June 2019.
Charter Amendments – Registrar Stakeholder Group (RrSG)		June 2019	<ul style="list-style-type: none"> - Completed Phase II of the GNSO Charter Amendment Process. The OEC has directed staff to proceed to Phase III, posting the proposed changes to the RrSG Charter for public comment, including all supporting documents, such as ICANN org’s fiscal and liability concerns and the RrSG’s response to these concerns.
ccNSO2 Review (Conduct Review)	Review launched in August 2018 with the selection of Meridian Institute as independent examiner.	July 2019	<ul style="list-style-type: none"> - The IE conducted interviews with the community at ICANN63 in Barcelona. - The RWP conducted a meeting at ICANN63 in Barcelona.

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	<p>ccNSO2 Review: Proposed Roadmap</p> 		<ul style="list-style-type: none"> - A survey was launched to collect input from those who have interacted with the ccNSO on 27 November 2018.
<p>Review Streamlining & Recalibration/ Review Framework/ Process of Conducting Effective Reviews</p>	<p>The timing of Bylaws-mandated Specific and Organizational Reviews resulted in multiple reviews occurring at the same time – currently eleven reviews are in various stages of work. The situation has strained volunteer and ICANN resources and resulted in Board and community discussions, including at ICANN63, to look for possible solutions to lessen the strain on volunteer community and resources, while maintaining accountability.</p>	<p>December 2019</p>	<ul style="list-style-type: none"> - MSSJ published a consultation paper on a way forward with reviews. - ATRT3 will consider providing guidance on streamlining Specific Reviews; OEC will discuss a way forward for Organizational Reviews, starting at its meeting in January 2019
<p>ATRT3 (Conduct Review)¹</p>	<p>The Review Team was confirmed by the SO/AC Chairs and announced in December 2018.</p> <p>Preparations are underway to set up mailing lists, finalize the wiki pages, set up doodle polls for the first telephonic meeting, finalize the questionnaire, finalize the SOI and COI templates, and all other documentation needed to get the work of the Review Team started.</p>	<p>February 2020</p>	<ul style="list-style-type: none"> - SO/AC Chairs confirmed the members of the ATRT3 Review Team in December 2018. - An announcement was published in December 2018 to inform the community of the convening of the ATRT3 Review Team. - ICANN organization is preparing to send the new Review Team members a welcome email to inform them of next steps, and provide them a questionnaire, SOI and COI templates that each member is expected to fill out and return to ICANN organization.

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Item	Description	Target Completion Date	Status
	With the Review Team members completing and submitting the questionnaire, SOI and COI documents, ICANN organization will start planning of the first face-to-face meeting of the Review Team to get their substantive work started; i.e. planning out the review work, determining scope, finalizing the leadership team, etc.		- The results of these documents will allow the completion of setting up the review mailing lists, completion of the wiki page content, scheduling the first telephonic meeting, and preparing for the subsequent plenary discussions and face-to-face meeting.
At-Large Review (Implementation Phase)	The implementation team will provide semi-annual written updates to the OEC until the completion of the implementation.	December 2020	- ALAC has submitted its detailed implementation plan to the OEC and will be considered for Board action in January 2019.
Holistic Assessment of ICANN Structures	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. The OEC to discuss further the possibility of the review of the CWG and CCWG mechanisms, in conjunction with an MSSI Org-proposed timeline for this review.	2021	- Committee to defer this discussion until the currently planned reviews have had an opportunity to operationalize improvements already identified.
IANA Naming Function Review (IFR)	Since the OEC is expected to include IFR under its charter, we include the following status: The IFR is a new accountability mechanism created as part of the IANA stewardship transition to ensure that PTI meets the needs and expectations of its naming customers by adhering to the contractual requirements set forth in the IANA Naming Function Contract and the IANA Naming Function Statement of Work . On 16 September 2018, the first IFR was convened by the ICANN Board , in compliance with Article 18 of the ICANN Bylaws.	TBD	- The appointing orgs made initial appointments that leave two bylaws issues still to address: (1) lack of APAC representation (2) no volunteer from a non-ccNSO ccTLD - ICANN org will continue to work with the appointing organizations that have been asked to provide a resolution by 25 January 2019.

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Appendix I: Resolutions Recommended by the OEC to the Board

Date	Resolution Title	Category	Status	Resolution Number	Topic	Summary
25 October 2018	Appointment of Board Designee to Third Accountability and Transparency Review Team	Main Agenda	Resolved	2018.10.25.14	Appointment of Board Designee to Review Team	Maarten Botterman appointed to serve as a member of ATRT3.
25 October 2018	Appointment of Board Designee to Third Accountability and Transparency Review Team	Main Agenda	Resolved	2018.10.25.15	Establishment of benchmarks for review team performance	the Board requests that ATRT3 adopt its Terms of Reference and Work Plan within 60 days of convening its first meeting, and submit these documents to the Board and to the leadership of the Supporting Organizations and the Advisory Committees, to confirm that the team's scope and timeline are consistent with the requirements of the ICANN Bylaws and ICANN community expectations

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Appendix II: Current Status of Reviews (from icann.org)

Specific Reviews Currently Active	Status	Additional Resources
Accountability and Transparency (ATRT3)	The Internet Corporation for Assigned Names and Numbers (ICANN) announced the selection of an 18-member team to conduct the third Accountability and Transparency Review (ATRT3). It is anticipated that the ATRT3 Review Team will schedule its first face-to-face meeting in early 2019.	Latest news and updates: Wiki Workspace Historical milestones, outputs, and final deliverables: Review Home Page on ICANN.org .
Competition, Consumer Trust, and Consumer Choice (CCT)	Review team has sent its Final Report to the ICANN Board. The report was published for public comment in advance of the Board's consideration. The Public Comment process on the Final Report was started on 08 October 2018 and will close on 11 January 2019.	Latest news and updates: Wiki Workspace Historical milestones, outputs, and deliverables: Review Home Page on ICANN.org Review data: Fact Sheet
Registration Directory Service Review formerly "WHOIS" (RDS-WHOIS2)	The review team is reviewing the seven public comments received on its Draft Report , and updating its report for submission to the ICANN Board	Latest news and updates: Wiki Workspace Historical milestones, outputs, and deliverables: Review Home Page on ICANN.org Review data: Fact Sheet
Security, Stability, and Resiliency of the Domain Name System (SSR2)	In the coming months, the Review Team will finish gathering facts and drafting recommendations. The Review Team will meet face-to-face in January and	Latest news and updates: Wiki Workspace

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	plans to present draft recommendations to the community during ICANN64.	Historical milestones, outputs, and deliverables: Review Home Page on ICANN.org Review data: Fact Sheet
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Organizational Reviews currently active	Status	Additional Resources
Address Supporting Organization (ASO2)	The NRO is currently assessing the Final Report of the independent examiner.	Find essential milestones, outputs, and final deliverables on the ASO Review Home Page on ICANN.org .
At-Large (At-Large2)	The At-Large Review Implementation Working Group (ARIWG) is developing a detailed implementation plan and will then oversee the implementation process.	Find latest news and progress updates on the At-Large/ALAC Review Wiki Workspace and historical milestones, outputs, and final deliverables on the At-Large Review Home Page on ICANN.org .
Country Code Names Supporting Organization (ccNSO2)	Meridian Institute was appointed in August 2018 to conduct the ccNSO2 review. Interviews took place beginning at ICANN63, and its online survey was published in December 2018.	Find historical milestones, outputs, and final deliverables on the ccNSO Review Home Page on ICANN.org .
Generic Names Supporting Organization (GNSO2)	GNSO2 Review recommendation have been implemented and the Final Implementation Report has been submitted to the Board.	Find latest news and progress updates on the GNSO Review Wiki Workspace and historical milestones, outputs, and final deliverables on the GNSO Review Home Page on ICANN.org .

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<p>Nominating Committee (NomCom2)</p>	<p>Based on its detailed review of the final report, the NomCom Review Implementation Planning Team has prepared its Feasibility Assessment and Initial Implementation Plan (FAIIP). The document has been submitted to the OEC and, based on the committee’s advice, the Board is expected to resolve on next steps during ICANN64.</p>	<p>Find latest news and progress updates on the NomCom Review Wiki Workspace and historical milestones, outputs, and final deliverables on the NomCom Review Home page on ICANN.org.</p>
<p>Root Server System Advisory Committee (RSSAC2)</p>	<p>Based on its detailed review of the final report, the RSSAC Review Work Party (RWP) has prepared its Feasibility Assessment and Initial Implementation Plan (FAIIP). The document has been submitted to the OEC and, based on the committee’s advice, the Board is expected to resolve on next steps during ICANN64.</p>	<p>Find latest news and progress updates on the RSSAC Review Wiki Workspace and historical milestones, outputs, and final deliverables on the RSSAC Review Home Page on ICANN.org.</p>
<p>Security and Stability Advisory Committee (SSAC2)</p>	<p>Analysis Group, the independent examiner, published its final report on 17 December 2018. The SSAC Review Working Party will now prepare a Feasibility Assessment and Initial Implementation Plan based on the final report.</p>	<p>Find latest news and progress updates on the SSAC Review Wiki Workspace and historical milestones, outputs, and final deliverables on the SSAC Review Home Page on ICANN.org.</p>